

2003 NATIONAL SURVEY ON DRUG USE AND HEALTH

Full-Year Field Observation Report – FINAL

RTI Project No. 7190
Contract No. 283-98-9008

Deliverable No. 42

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Prepared for:

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RTI International
Research Triangle Park, NC 27709

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1. Introduction

Beginning in the spring of 2001, Substance Abuse and Mental Health Services Administration (SAMHSA) and RTI International¹ staff conducted a few informal field observations of Field Interviewers (FIs) working National Survey on Drug Use and Health (NSDUH) cases in the District of Columbia and North Carolina areas. The primary intent was to assess how closely FIs follow project protocols while completing fieldwork. Errors were prevalent enough to warrant further investigation. As a result, beginning in January 2002, nationwide field observations were begun. The purposes of these field observations included assessing and monitoring the nature and extent of screening and interviewing problems occurring in the field, and using the findings to improve training and field procedures in current and subsequent NSDUH surveys.

In 2003, field observations were conducted during Quarters 2, 3, and 4. (Because of a delay in award of a contract modification, no field observations were conducted in Quarter 1 2003.) The 2003 field observations were conducted by NSDUH field management staff from both RTI and Headway. The design was to have these staff observe interviewers on 300 separate occasions with additional observations conducted by SAMHSA staff. An observation was considered complete only if a full interview was observed. An observation that entailed observing only completed screenings did not count toward the goal of 300 observations, but the data from those screening observations are included in this report. No FIs were observed during their first quarter of work.

This full-year report summarizes the field observations conducted between April 1, 2003 and December 31, 2003. During this time period, a total of 319 observations were conducted with interviewers completing 683 screenings and 414 interviews. SAMHSA staff completed 5 of the 319 observations conducted, observing 21 screenings and 8 interviews. The remainder of the observations was conducted by RTI staff. Fourteen of the 319 observations ended in observing completed screenings only. Observations were conducted by 55 Field Supervisors (FSs), 8 Regional Supervisors (RSs), 1 Regional Director (RD), 8 Survey Specialists (SSs), and 5 other project staff; and 3 SAMHSA staff. Observers were assigned both new FIs and veteran FIs throughout the year. "New" FIs were defined as FIs who had been initially trained on the NSDUH during the 2003 survey year at the March or June New-to-Project training session. In Quarter 2, FSs observed only FIs who worked primarily for other FSs. Beginning in Quarter 3, FSs were assigned to observe veteran FIs who worked primarily for other FSs. Other observers were assigned both new FIs and veteran FIs throughout the year.

This report summarizes the field observation procedures followed and the errors observed, as well as implemented actions and recommendations for future actions based on the findings.

¹ RTI International is a trade name of Research Triangle Institute.

2. Observation Procedures

In order to minimize costs, but still ensure coverage of a variety of FIs and work conditions, we selected FIs using a purposive selection method. It would have been cost prohibitive to randomly select FIs for field observations. We planned field observation trips as early as possible to allow adequate time for planning efficient travel. The FIs were selected for observations based on the following criteria (in order of importance):

- Sufficient viable pending work to allow for observing an interview;
- FI experience (new FI, veteran FI);
- Recommendation for reobservation by previous observer or Regional Director;
- Type of area (rural, suburban, urban);
- Census region (Northeast, South, Midwest, West);
- FI gender (male, female);
- FI race (white, black, other).

In order to examine changes in screening and interviewing behavior over time, a subset of FIs observed included those who had been observed previously. This subset is included in the count of 319 field observations completed.

Observations were conducted in all 50 states plus the District of Columbia (see Tables 2.1 through 2.5 for numbers of observations by FI experience, type of area, census region, FI gender, and FI race). Observers used a Field Observation Screening Checklist and a Field Observation Interviewing Checklist to document their observations. A Field Observer Reference Sheet, Field Observation Observer Instructions sheet, and a Field Observer Task List were used in order to help maintain consistency in planning observation assignments and interacting with FIs and respondents. Observers were asked to mail a Field Observations FI Instructions sheet to the FI prior to the observer's arrival in the field. Current versions of the Newton Housing Unit (HU) and Group Quarters Unit (GQU) Scripts and computer-assisted interviewing (CAI) specifications for the front-end and back-end computer-assisted personal interviewing (CAPI) questions were posted on the project website for observers to print and use to follow along with FIs during observations.

Observers were asked to transfer information from paper Field Observation Screening Checklists and Field Observation Interviewing Checklists to electronic versions on the project website within 24 hours of completing an observation. This information was summarized into two master Excel data files accessible to all project staff members and SAMHSA staff via a link on the NSDUH website; one file contained all the screening observation data and the other file contained all the interviewing observation data. This page contained filters that allowed field management staff to download specific field observation data into a data summary report.

Each week a status report file called the Field Observations Weekly Status Report was sent to SAMHSA. This report included a count of observations completed to date and characteristics of observation trips completed and planned for the year. A summary page

provided a count of all observations by type of travel (local, drive overnight, fly), census region, type of area, and whether the FI was observed previously. The summary file also indicated whether or not an FI was recommended for reobservation. For FIs recommended for reobservation, the file indicated the reason given for reobservation, the name of the previous observer, and the survey year(s) during which the FI was previously observed.

RTI developed a standard process for providing feedback to observed FIs. All field observation data were to be entered into the NSDUH website within 24 hours of completing an observation. The Field Observation Manager reviewed the information posted on the Web for accuracy and completeness. Form omissions or mistakes made on the form by the observer were corrected by the Field Observation Manager after gaining clarification from the observer. During the Quarter 2 and 3 field observations, if the field observer was the direct supervisor of the FI that he/she had observed, then he/she was allowed to provide feedback to the FI at the end of the observation trip. However, all observers were still required to promptly enter their checklists into the NSDUH website for the Field Observation Manager to review. Field observers who were not the direct supervisor of the observed FI were asked to refrain from providing any feedback to the FI. These observers were asked to provide their feedback only via the Field Observation Checklists. Positive feedback concerning an FI's performance was sent via e-mail to the managing FS, copying the RS, RD, and field observation management staff.

In Quarter 3 2003, project management staff discovered that FSs were significantly less likely to report errors during field observations than were non-FS observers, especially if the FI being observed reported primarily to the observing FS. We deduced that FSs were providing small clues during observations that were affecting the behavior of the FIs being observed. It appeared that many FSs were inadvertently using field observations as a mentoring opportunity. In order to better differentiate between the mentoring process and the field observation process, beginning in Quarter 4 2003, any FS who was the direct supervisor of an FI observed was no longer allowed to share feedback with the FI either during or after the field observation. No feedback was to be shared with an FI until an observation trip had been completed, all data had been entered into the Web, and an e-mail had been sent to the FS by the Field Observation Manager giving permission to share the results. Furthermore, it was explained that the primary purpose of the field observation process was to gather an accurate picture of FI behaviors in the field. Observers were told to document all problems or mistakes that occurred in the field, bearing in mind that the mistakes could be due to a lack of sufficient training and would not necessarily reflect poorly upon the supervisor. In order to ensure consistent communication of this new policy, the Field Observation Manager explained these points during teleconferences in September 2003 with all FSs, RSs, RDs, SSs, and other NSDUH project staff. All staff members acknowledged understanding the new procedure and vowed to comply. Our retraining appeared to have an effect on the number of errors noted by FSs. In Quarter 4, FSs were more than twice as likely as they were in Quarter 2 and in Quarter 3 to note screening and interviewing errors. In Quarter 4, FSs were also about as likely as non-FS observers to note both screening and interviewing errors.

FSs were required to discuss with the FI observed the documented results of the observation. The Field Observation Manager reviewed each observation form and, if problems were noted, would mandate, via an automatic e-mail containing all errors committed during a particular observation, either an in-person mentoring of the FI or a suspension of work until the

FI completed a retraining session with the FS. The exact recommendations were based on the severity of the errors discovered during the observation and were monitored by the National Field Director for appropriateness. For example, for cases where FIs made minor errors such as not having the respondent place the Quality Control Form in the Quality Control Form envelope himself/herself, the FS was instructed to have a detailed discussion with the FI about the error. For FIs whose demonstration of procedures was weak, such as not conducting the interview at a good pace, using leading probes, or not reading all interview questions verbatim, more extensive phone retraining or mentoring was required.

For FIs who committed a serious breach of protocol, defined as those which, when committed by an FI, could potentially violate a respondent's rights and/or compromise the accuracy of the data collected, the FI's work was suspended until the FS conducted retraining, and the RS, RD, and National Field Director approved the FI to return to work. In these cases, a verbal warning was also issued to the FI.

Field observers were trained to remain neutral during the observations, and were only to intercede with a screening or interview if the respondent's rights were being violated or if the project equipment was in jeopardy. In all other situations, observers were instructed not to interfere.

Table 2.1 Observation Counts by FI Experience

FI Experience	New FI (M¹=80)	Veteran FI (M=239)	Total (M=319)
Screening Observations	189 (28%)	494 (72%)	683 (100%)
Interviewing Observations	101 (24%)	313 (76%)	414 (100%)
Overall	290 (26%)	807 (74%)	1097 (100%)

¹ M = number of unique observations completed

Table 2.2 Observation Counts by Type of Area

Type Of Area	Rural (M¹=67)	Suburban (M=155)	Urban (M=97)
Screening	162 (24%)	324 (47%)	197 (29%)
Interviewing	84 (20%)	201 (49%)	129 (31%)
Overall	246 (22%)	525 (48%)	326 (30%)

¹ M = number of unique observations completed

Table 2.3 Observation Counts by Census Region

Region	Northeast (M¹=66)	South (M=83)	Midwest (M=96)
Screening	104 (15%)	193 (28%)	223 (33%)
Interviewing	83 (20%)	114 (27%)	119 (29%)
Overall	187 (17%)	307 (28%)	342 (31%)

¹ M = number of unique observations completed

Table 2.4 Observation Counts by FI Gender

FI Demographics: Gender	Male (M¹=75)	Female (M=244)	Total (M=319)
Screening	139 (20%)	544 (80%)	683 (100%)
Interviewing	91 (22%)	323 (78%)	414 (100%)
Overall	230 (21%)	867 (79%)	1097 (100%)

¹ M = number of unique observations completed

Table 2.5 Observation Counts by FI Race

FI Demographics: Race	White (M¹=270)	Black (M=34)	Other (M=15)
Screening	594 (87%)	57 (8%)	32 (5%)
Interviewing	346 (83%)	49 (12%)	19 (5%)
Overall	940 (85%)	106 (10%)	51 (5%)

¹ M = number of unique observations completed

3. Findings²

3.1. General Findings

Out of a possible 21,173 screening errors in 2003 (683 completed screenings x 31 possible errors on the Field Observation Screening Checklist), field observers noted 599 errors—2.83 percent of possible screening errors. Out of a possible 10,350 interviewing errors in 2003 (414 completed interviews x 25 possible errors on the Field Observation Interviewing Checklist), field observers noted 650 errors—6.28 percent of possible interviewing errors.

Several trends emerged among the 2003 field observations data. We were pleased to find that the vast majority of FIs displayed positive behaviors when conducting screenings (see Table 3.1.1). Of the 31 activities listed on the Field Observation Screening Checklist, the bullets below list appropriate activities and the associated percentage of the 683 observed screening cases where the activity was observed at least 95 percent of the time:

- Displaying the ID badge prominently when knocking on the door of the SDU (99.41 percent);
- Being on the Newton "Identify SR" screen when reaching the door (97.80 percent);
- Using Newton Spanish screens only when bilingual-certified (100.00 percent);
- Mentioning their name during their introduction at the door (99.85 percent);
- Mentioning RTI during their introduction at the door (98.24 percent);
- Mentioning the lead letter during their introduction at the door (99.85 percent);
- If the respondent did not recall the lead letter, offering one to the respondent (98.98 percent);
- Checking for missed DUs by reading the correct Newton screen verbatim (96.05 percent);
- Recording race based on respondent answer and not on FI observation (97.51 percent);
- Obtaining all screening information directly from the screening respondent and not by observation or a proxy (99.27 percent);
- Confirming the accuracy and completeness of the roster data with the screening respondent (95.46 percent);
- Reading verification instructions verbatim when no household members were selected for an interview (code 22, 25, 26, or 30) (96.05 percent);
- Expecting interview cooperation when one or two household members were selected for an interview (code 31 or 32) (99.71 percent);
- Presenting project and interview information accurately when one or two household members were selected for an interview (code 31 or 32) (99.27 percent);

² Error rate equals the percentage of observed cases where an error was observed.

- Gaining respondent trust and cooperation when one or two household members were selected for an interview (code 31 or 32) (99.71 percent);
- Demonstrating flexibility in scheduling the interview time when one or two household members were selected for an interview (code 31 or 32) (100.00 percent);
- Leaving appropriate information about future interview(s) when one or two household members were selected for an interview (code 31 or 32) (98.24 percent);
- Making attempts to begin the interview right away when one or two household members were selected for an interview (code 31 or 32) (99.12 percent);
- Being punctual when meeting an observer or respondent when prior arrangements had been made (99.85 percent);
- Delivering a courteous, straightforward presentation (98.83 percent);
- Being organized (97.80 percent);
- Demonstrating a thorough knowledge of the study (97.22 percent);
- Delivering a courteous, straightforward presentation (98.83 percent);
- Maintaining a calm, professional, and respectful demeanor (99.41 percent).

Observers noted some negative trends during screenings. The bullets below list improper activities from the Field Observation Screening Checklist (excluding serious breaches of protocol) and the associated percentage of the 683 observed screening cases where the activity was observed at least 5 percent of the time:

- Not including US Public Health Service during their introduction at the door (7.32 percent);
- Not verifying that he/she is at the correct address (6.88 percent);
- Not asking all Newton roster questions verbatim (24.60 percent).

We were pleased to find that the vast majority of FIs displayed positive behaviors when conducting interviews (see **Table 3.1.2**). Of the 25 activities listed on the Field Observation Interviewing Checklist, the bullets below list appropriate activities and the associated percentage of the 414 observed interview cases where the activity was observed at least 95 percent of the time:

- Choosing a private location to conduct the interview (97.34%);
- Setting up the equipment efficiently (98.31%);
- Keeping the audio computer-assisted self interviewing (ACASI) portion private while remaining attentive (98.31%);
- Being punctual when meeting an observer or respondent when prior arrangements had been made (99.28 percent);
- Being organized (97.10 percent);
- Demonstrating a thorough knowledge of the study (97.58 percent);
- Keeping paper forms accessible (99.28 percent);
- Speaking in a clear voice (99.03 percent);

- Maintaining a pace comfortable for the respondent (98.31 percent);
- Being courteous and respectful of the respondent and his/her surroundings (99.76 percent).

Observers noted some negative trends during interviews. The bullets below list improper activities from the Field Observation Interviewing Checklist (excluding serious breaches of protocol) and the associated percentage of the 414 observed interview cases where the activity was observed 5 percent of the time:

- Not asking initial (front-end) CAPI questions verbatim (10.63 percent);
- Not completing the calendar accurately with the respondent while reading the CAI script and keeping the calendar where the respondent could see it (14.25 percent);
- Not reading the Intro to ACASI screen verbatim (20.77 percent);
- Not explaining headphone usage, offering headphones to the respondent, and/or not plugging the headphones in (8.45 percent);
- Not asking the demographic (back-end) CAPI questions verbatim (20.53 percent);
- Not listening to the responses or probing effectively for industry and occupation questions (11.35 percent);
- Not reading the Quality Control Form instructions verbatim (18.84 percent);
- Not presenting the Showcards when prompted by the CAI (6.28 percent).

Table 3.1.1 Screening Error Rates¹: New FIs vs. Veteran FIs

Screening Error	New FI (N ² =186)	Veteran FI (N=497)	Overall (N=683)
Not displaying ID Badge prominently when knocking on door	0.54% (1)	0.60% (3)	0.59% (4)
Not being on Newton "Identify SR" screen when reaching door	4.84% (9)	1.21% (6)	2.20% (15)
Using Newton Spanish screens when not bilingual-certified	0.00% (0)	0.00% (0)	0.00% (0)
Not including FI NAME in introduction	0.00% (0)	0.20% (1)	0.15% (1)
Not including RTI in introduction	1.61% (3)	1.81% (9)	1.76% (12)
Not including US PUBLIC HEALTH SERVICE in introduction	8.60% (16)	6.84% (34)	7.32% (50)
Not including LEAD LETTER in introduction	0.00% (0)	0.20% (1)	0.15% (1)
If R did not recall lead letter, FI not offering one to R	1.08% (2)	1.01% (5)	1.02% (7)
Not confirming that SR was an adult resident of SDU	3.76% (7)	4.63% (23)	4.39% (30)
Not verifying that he/she was at the correct address	4.30% (8)	7.85% (39)	6.88% (47)

Table 3.1.1 Screening Error Rates¹: New FIs vs. Veteran FIs (continued)

Screening Error	New FI (N ² =186)	Veteran FI (N=497)	Overall (N=683)
Not giving Study Description to respondent	1.08% (2)	1.61% (8)	1.46% (10)
Not reading Newton "Informed Consent" screen to R	1.08% (2)	3.62% (18)	2.93% (20)
Not checking for missed DUs by reading the correct Newton screen verbatim	3.76% (7)	4.02% (20)	3.95% (27)
Not asking all roster questions verbatim	15.59% (29)	27.97% (139)	24.60% (168)
Not recording race based on R answer, but on FI observation instead	1.61% (3)	2.82% (14)	2.49% (17)
Not obtaining all screening information directly from the SR (by observation or a proxy)	0.54% (1)	0.80% (4)	0.73% (5)
Not confirming accuracy and completeness of roster data with screening respondent	3.23% (6)	5.03% (25)	4.54% (31)
When no household members were selected for an interview (code 22, 25, 26, or 30), not reading verification instructions verbatim	1.61% (3)	4.83% (24)	3.95% (27)
When one or two household members were selected for an interview (code 31 or 32), not expecting interview cooperation	0.54% (1)	0.20% (1)	0.29% (2)
When one or two household members were selected for an interview (code 31 or 32), not presenting project and interview information accurately	0.54% (1)	0.80% (4)	0.73% (5)
When one or two household members were selected for an interview (code 31 or 32), not gaining respondent trust/cooperation	0.54% (1)	0.20% (1)	0.29% (2)
When one or two household members were selected for an interview (code 31 or 32), not demonstrating flexibility in scheduling interview	0.00% (0)	0.00% (0)	0.00% (0)
When one or two household members were selected for an interview (code 31 or 32), not leaving appropriate information about future interview(s)	3.23% (6)	1.21% (6)	1.76% (12)
When one or two household members were selected for an interview (code 31 or 32), not making attempts to begin interview right away	1.61% (3)	0.60% (3)	0.88% (6)
Committing other procedural violation not noted on this checklist	7.53% (14)	5.43% (27)	6.00% (41)
Not being punctual	0.54% (1)	0.00% (0)	0.15% (1)
Not being organized	4.30% (8)	1.41% (7)	2.20% (15)
Not demonstrating a thorough knowledge of study	5.38% (10)	1.81% (9)	2.78% (19)
Not delivering a courteous, straightforward presentation	1.08% (2)	1.21% (6)	1.17% (8)

Table 3.1.1 Screening Error Rates¹: New FIs vs. Veteran FIs (continued)

Screening Error	New FI (N ² =186)	Veteran FI (N=497)	Overall (N=683)
Not maintaining a calm, professional, respectful demeanor	0.54% (1)	0.60% (3)	0.59% (4)
Making biasing or inappropriate remarks	3.23% (6)	1.21% (6)	1.76% (12)
TOTAL	2.65% (153)	2.89% (446)	2.83% (599)

¹ The numbers in parentheses represent the counts of errors made.

² N = number of cases observed.

Table 3.1.2 Interviewing Error Rates: New FIs vs. Veteran FIs

Interviewing Error	New FI (N=92)	Veteran FI (N=322)	Overall (N=414)
If interview respondent (IR) was a minor, FI not first obtaining consent from parent or legal guardian	0.00% (0)	0.62% (2)	0.48% (2)
If IR was not screening respondent, not explaining purpose of study and visit thoroughly	3.26% (3)	0.62% (2)	1.21% (5)
Not handing STUDY DESCRIPTION to the respondent (R)	5.43% (5)	5.90% (19)	5.80% (24)
Not reading INTRO TO CAI from Showcard Booklet verbatim to the respondent	1.09% (1)	1.24% (4)	1.21% (5)
Not choosing a private location to conduct interview	1.09% (1)	3.11% (10)	2.66% (11)
Not setting up equipment efficiently	3.26% (3)	1.24% (4)	1.69% (7)
Not asking initial (front-end) CAPI questions verbatim	8.70% (8)	11.18% (36)	10.63% (44)
Not completing CALENDAR accurately with respondent while reading CAI script and keeping calendar where R could see it	8.70% (8)	15.84% (51)	14.25% (59)
Not reading "Intro to ACASI" screen verbatim	17.39% (16)	21.74% (70)	20.77% (86)
Not explaining HEADPHONE usage, offering headphones to R, and plugging in	3.26% (3)	9.94% (32)	8.45% (35)
Not keeping ACASI portion private (read ACASI), and/or not remaining attentive	1.09% (1)	1.86% (6)	1.69% (7)
Not asking demographic (back-end) CAPI questions verbatim	11.96% (11)	22.98% (74)	20.53% (85)
For industry & occupation questions, not listening to responses and probed appropriately	9.78% (9)	11.80% (38)	11.35% (47)
Not reading Quality Control Form instructions verbatim	8.70 (8)	21.74% (70)	18.84% (78)
Committing other procedural violation not noted on this checklist	15.22% (14)	14.60% (47)	14.73% (61)
Not presenting SHOWCARDS when prompted by the CAI	3.26% (3)	7.14% (23)	6.28% (26)
Not being punctual	3.26% (3)	0.00% (0)	0.72% (3)
Not being organized	7.61% (7)	1.55% (5)	2.90% (12)

Table 3.1.2 Interviewing Error Rates: New FIs vs. Veteran FIs (continued)

Interviewing Error	New FI (N=92)	Veteran FI (N=322)	Overall (N=414)
Not demonstrating a thorough knowledge of study	3.26% (3)	2.17% (7)	2.42% (10)
Not keeping paper forms accessible	1.09% (1)	0.62% (2)	0.72% (3)
Not speaking in a clear voice	0.00% (0)	1.24% (4)	0.97% (4)
Not maintaining a pace comfortable for the R	3.26% (3)	1.24% (4)	1.69% (7)
Not being courteous and respectful of R and surroundings	0.00% (0)	0.31% (1)	0.24% (1)
Divulging R's confidential info to others	0.00% (0)	0.93% (3)	0.72% (3)
Making biasing or inappropriate remarks	4.35% (4)	6.52% (21)	6.04% (25)
TOTAL	5.00% (115)	6.65% (535)	6.28% (650)

3.2. Serious Breaches of Protocol

In 2002, SAMHSA and RTI conferred to identify as "serious breaches of protocol" those errors which, when committed by an FI, could potentially violate a respondent's rights and/or significantly compromise the accuracy of the data collected. During screening, some FIs committed serious breaches of protocol (see Table 3.2.1). FIs who committed one or more serious breaches of screening protocol received either a verbal or written warning and were suspended from work until the FI completed a retraining session with the FS. The bullets below list the activities from the Field Observation Interviewing Checklist that were determined to be serious breaches of protocol and the associated percentage of the 683 observed screening cases where the activity occurred with any frequency:

- Not confirming that the screening respondent was an adult resident of the SDU (4.39 percent);
- Not giving the respondent a Study Description (1.46 percent);
- Not reading the Newton Informed Consent screen to the screening respondent (2.93 percent);
- Making biasing or inappropriate remarks (1.76 percent).

During interviewing, some FIs committed serious breaches of protocol (see Table 3.2.2). FIs who committed one or more serious breaches of interviewing protocol received either a verbal or written warning and were suspended from work until the FI completed a retraining session with the FS. The bullets below list the activities from the Field Observation Interviewing Checklist that were determined to be serious breaches of protocol and the associated percentage of the 414 observed interview cases where the activity occurred with any frequency:

- If the interview respondent was a minor, not first obtaining consent from a parent to conduct the interview (0.48 percent);
- If the interview respondent was not the screening respondent, not explaining the purpose of the study and visit thoroughly (1.21 percent);
- Not handing the Study Description to the respondent (5.80 percent);

- Not reading the "Intro to CAI" script from the Showcard Booklet verbatim to the respondent (1.21 percent);
- Divulging respondent's confidential information to others (0.72 percent);
- Making biasing or inappropriate remarks (6.04 percent).

Table 3.2.1 Serious Breaches of Protocol: Screening

Screening Error	New FI (N=186)	Veteran FI (N=497)	Overall (N=683)
Not confirming that the survey respondent (SR) was an adult resident of the screener dwelling unit (SDU)	3.76% (7)	4.63% (23)	4.39% (30)
Not giving Study Description to R	1.08% (2)	1.61% (8)	1.46% (10)
Not reading Newton "Informed Consent" screen to R	1.08% (2)	3.62% (18)	2.93% (20)
Making biasing or inappropriate remarks	3.23% (6)	1.21% (6)	1.76% (12)

Table 3.2.2 Serious Breaches of Protocol: Interviewing

Interviewing Error	New FI (N=92)	Veteran FI (N=322)	Overall (N=414)
If IR was a minor, FI not first obtaining consent from parent	0.00% (0)	0.62% (2)	0.48% (2)
If the interview respondent was not the screening respondent, not explaining the purpose of the study and visit thoroughly	3.26% (3)	0.62% (2)	1.21% (5)
Not handing the Study Description to the respondent	5.43% (5)	5.90% (19)	5.80% (24)
Not reading INTRO TO CAI from Showcard Booklet verbatim to the respondent	1.09% (1)	1.24% (4)	1.21% (5)
Divulging R's confidential info to others	0.00% (0)	0.93% (3)	0.72% (3)
Making biasing or inappropriate remarks	4.35% (4)	6.52% (21)	6.04% (25)

3.3. Findings by FI Experience^{3,4}

Tables 3.1.1 and 3.1.2 show the error rates and the number of errors by FI experience for each screening and interviewing checklist item. Veteran FIs committed screening errors at about the same rate of new FIs. The new FI screening error rate was 2.65 percent and the veteran FI screening error rate was 2.89 percent. During screening, new FIs were particularly less likely than veteran FIs to not ask all roster questions verbatim (15.59 percent vs. 27.97 percent).

Veteran FIs committed interviewing errors at a slightly higher rate than that of new FIs. The new FI interviewing error rate was 5.00 percent and the veteran FI interviewing error rate was 6.65 percent. The bullets below list improper activities from the Field Observation Interviewing Checklist and the associated percent of observed interview cases where the activity was observed:

³ For the purposes of this report, new FIs were defined as those FIs who were initially trained on the project at either the March or June 2003 new-to-project training session.

⁴ Error rate differences were considered significant if the new FI error rate and the veteran FI error rate differed by at least 5 percent.

- Not completing the Calendar accurately with the respondent while reading the CAI script and keeping the calendar where the respondent could see it (8.70 percent vs. 15.84 percent)
- Not explaining the headphone usage, offering the headphones to the respondent, and plugging in the headphones (3.26 percent vs. 9.94 percent)
- Not asking the demographic (back-end) CAPI questions verbatim (11.96 percent vs. 22.98 percent)
- Not reading the Quality Control Form instructions verbatim (8.70 percent vs. 21.74 percent)

In contrast, during interviewing, new FIs were more likely to not be organized (7.61 percent vs. 1.55 percent).

3.4. Findings by Type of Area

As shown by the error rates in Table 3.4.1, FIs working in rural areas were slightly less likely than FIs working in suburban areas to make screening errors, with the error rate for urban FIs falling between the two (1.81 percent rural screening error rate vs. 3.43 percent suburban and 2.67 percent urban). FIs working in rural areas were slightly less likely than FIs working in suburban areas or urban areas to make interviewing errors (5.76 percent rural interviewing error rate vs. 6.24 percent suburban and 6.67 percent urban).

Table 3.4.1 Error Rates by Type of Area¹

Type Of Area	Rural	Suburban	Urban	Overall
Screening	1.81% (91)	3.43% (345)	2.67% (163)	2.83% (599)
Interviewing	5.76% (121)	6.24% (314)	6.67% (215)	6.28% (650)

¹ The numbers in parentheses represent the counts of errors made. Error rates are based on total number of cases observed.

3.5. Findings by Census Region

As shown by the error rates in Table 3.5.1, FIs working in the South were slightly less likely than FIs living elsewhere to make screening errors (1.96 percent South screening error rate vs. 3.07 percent Northeast, 3.04 percent Midwest, and 3.42 percent West). FIs working in the South were also slightly less likely than FIs living elsewhere to make interviewing errors (4.70 percent South interviewing error rate vs. 6.94 percent Northeast, 7.56 percent Midwest, and 6.00 percent West).

Table 3.5.1 Error Rates by Census Region¹

Type Of Area	Northeast	South	Midwest	West	Overall
Screening	3.07% (99)	1.96% (117)	3.04% (210)	3.42% (173)	2.83% (599)
Interviewing	6.94% (144)	4.70% (134)	7.56% (225)	6.00% (147)	6.28% (650)

¹ The numbers in parentheses represent the counts of errors made. Error rates are based on total number of cases observed.

3.6. Findings among FIs Previously Observed^{5,6}

Out of the 319 observations conducted in 2003, 296 different FIs were observed. Nineteen (19) FIs were observed twice in 2003 and two FIs were observed three times in 2003. Of the 296 FIs, 55 were originally observed during 2002 completing 98 screenings and 64 interviews. In 2003, these same 55 FIs were observed completing 128 screenings and 84 interviews. Tables 3.6.1 and 3.6.2 show the most common errors made by these 55 reobserved FIs and the corresponding error rates that occurred in 2002 and 2003. Overall, reobserved FIs committed more errors in 2002 than in 2003. For the 30 screening checklist items that were common to 2002 and 2003, the screening error rate was 5.03 percent in 2002 versus 3.07 percent in 2003. The bullets below list improper activities from the Field Observation Screening Checklist and the associated percentage of observed screening cases where the activity was observed:

- Not displaying the ID badge prominently when knocking on the respondent's door (6.12 percent vs. 0.00 percent);
- Not including the lead letter in the introduction (6.12 percent vs. 0.00 percent);
- Not confirming that the screening respondent was an adult resident of the SDU (12.24 percent vs. 5.47 percent);
- Not reading the Newton "Informed Consent" screen to the respondent (13.27 percent vs. 2.34 percent);
- Not asking all roster questions verbatim (34.69 percent vs. 26.69 percent);
- Not being organized (9.18 percent vs. 3.13 percent);
- Not demonstrating a thorough knowledge of the study (7.14 percent vs. 1.56 percent).

For the 23 interviewing checklist items that were common to 2002 and 2003, the observation error rate was 7.20 percent in 2002 versus 5.38 percent in 2003. The bullets below list improper activities from the Field Observation Interviewing Checklist and the associated percentage of observed interviewing cases where the activity was observed:

- If the interview respondent was not the screening respondent, not explaining the purpose of the study and visit thoroughly (6.25 percent vs. 0.00 percent);
- Not asking initial (front-end) CAPI questions verbatim (28.13 percent vs. 10.71 percent);
- Not asking demographic (back-end) CAPI questions verbatim (39.54 percent vs. 22.62 percent);
- Not being organized (6.25 percent vs. 1.19 percent).

⁵ Note that the number of observations summarized in section 3.6 is significantly smaller than the number of observations summarized in most other sections of this report.

⁶ Error rate differences were considered significant if the 2002 error rate and the 2003 error rate differed by at least 5 percent.

Table 3.6.1 Screening Error Rates by Year for Reobserved FIs (for items common to 2002 and 2003 checklists)

Screening Error	2002 (N=98)	2003 (N=128)
Not displaying ID Badge prominently when knocking on door	6.12% (6)	0.00% (0)
Not being on Newton "Identify SR" screen when reaching door	1.02% (1)	0.00% (0)
Using Newton Spanish screens when not bilingual-certified	0.00% (0)	0.00% (0)
Not including FI NAME in introduction	0.00% (0)	0.00% (0)
Not including RTI in introduction	5.10% (5)	2.34% (3)
Not including US PUBLIC HEALTH SERVICE in introduction	10.20% (10)	5.47% (7)
Not including LEAD LETTER in introduction	6.12% (6)	0.00% (0)
If R did not recall lead letter, FI not offering one to R	3.06% (3)	0.78% (1)
Not confirming that SR was an adult resident of SDU	12.24% (12)	5.47% (7)
Not verifying that he/she was at the correct address	10.20% (10)	8.59% (11)
Not giving Study Description to respondent	4.08% (4)	3.13% (4)
Not reading Newton "Informed Consent" screen to R	13.27% (13)	2.34% (3)
Not checking for missed DUs by reading the correct Newton screen verbatim	5.10% (5)	3.91% (5)
Not asking all roster questions verbatim	34.69% (34)	29.69% (38)
Not recording race based on R answer, but on FI observation instead	1.02% (1)	2.34% (3)
Not obtaining all screening information directly from the SR (by observation or a proxy)	3.06% (3)	0.00% (0)
Not confirming accuracy and completeness of roster data with screening respondent	4.08% (4)	4.69% (6)
When no household members were selected for an interview (code 22, 25, 26, or 30), not reading verification instructions verbatim	6.12% (6)	7.03% (9)
When one or two household members were selected for an interview (code 31 or 32), not expecting interview cooperation	0.00% (0)	0.00% (0)
When one or two household members were selected for an interview (code 31 or 32), not presenting project and interview information accurately	1.02% (1)	3.13% (4)
When one or two household members were selected for an interview (code 31 or 32), not gaining respondent trust/cooperation	1.02% (1)	0.00% (0)
When one or two household members were selected for an interview (code 31 or 32), not demonstrating flexibility in scheduling interview	1.02% (1)	0.00% (0)
When one or two household members were selected for an interview (code 31 or 32), not leaving appropriate information about future interview(s)	1.02% (1)	2.34% (3)
When one or two household members were selected for an interview (code 31 or 32), not making attempts to begin interview right away	0.00% (0)	0.78% (1)

Table 3.6.1 Screening Error Rates by Year for Reobserved FIs (for items common to 2002 and 2003 checklists) (continued)

Screening Error	2002 (N=98)	2003 (N=128)
Not being punctual	0.00% (0)	0.00% (0)
Not being organized	9.18% (9)	3.13% (4)
Not demonstrating a thorough knowledge of study	7.14% (7)	1.56% (2)
Not delivering a courteous, straightforward presentation	1.02% (1)	0.78% (1)
Not maintaining a calm, professional, respectful demeanor	1.02% (1)	2.34% (3)
Making biasing or inappropriate remarks	3.06% (3)	2.34% (3)
Total	5.03% (148)	3.07% (118)

Table 3.6.2 Interviewing Error Rates by Year for Reobserved FIs (for items common to 2002 and 2003 checklists)

Interviewing Error	2002 (N=64)	2003 (N=84)
If IR was a minor, FI not first obtaining consent from parent or legal guardian	0.00% (0)	0.00% (0)
If interview respondent was not screening respondent, not explaining purpose of study and visit thoroughly	6.25% (4)	0.00% (0)
Not handing STUDY DESCRIPTION to the respondent	9.38% (6)	8.33% (7)
Not reading INTRO TO CAI from Showcard Booklet verbatim to the respondent	1.56% (1)	1.19% (1)
Not choosing a private location to conduct interview	3.13% (2)	1.19% (1)
Not setting up equipment efficiently	4.69% (3)	0.00% (0)
Not asking initial (front-end) CAPI questions verbatim	28.13% (18)	10.71% (9)
Not completing CALENDAR accurately with respondent while reading CAI script and keeping calendar where respondent could see it	12.50% (8)	16.67% (14)
Not explaining HEADPHONE usage, offering headphones to R, and plugging in	4.69% (3)	10.71% (9)
Not keeping ACASI portion private (read ACASI), and/or not remaining attentive	0.00% (0)	1.19% (1)
Not asking demographic (back-end) CAPI questions verbatim	35.94% (23)	22.62% (19)
For industry & occupation questions, not listening to responses and probing appropriately	10.94% (7)	15.48% (13)
Not reading Quality Control Form instructions verbatim	17.19% (11)	13.10% (11)
Not presenting SHOWCARDS when prompted by the CAI	7.81% (5)	9.52% (8)

Table 3.6.2 Interviewing Error Rates by Year for Reobserved FIs (for items common to 2002 and 2003 checklists) (continued)

Interviewing Error	2002 (N=64)	2003 (N=84)
Not being punctual	0.00% (0)	0.00% (0)
Not being organized	6.25% (4)	1.19% (1)
Not demonstrating a thorough knowledge of study	1.56% (1)	1.19% (1)
Not keeping paper forms accessible	3.13% (2)	0.00% (0)
Not speaking in a clear voice	4.69% (3)	1.19% (1)
Not maintaining a pace comfortable for the R	1.56% (1)	1.19% (1)
Not being courteous and respectful of R and surroundings	0.00% (0)	0.00% (0)
Divulging R's confidential info to others	0.00% (0)	0.00% (0)
Making biasing or inappropriate remarks	6.25% (4)	8.33% (7)
Total	7.20% (106)	5.38 (104)

3.7. Trends in Errors Made 2001-2003

For the 25 screening checklist items that were common to the 2001, 2002, and 2003 observation checklists, Table 3.7.1 shows that the observation error rate was 7.40 percent in 2001, 4.08 percent in 2002, and 2.95 percent in 2003. Overall, FIs improved considerably from 2001 to 2003 in that they did not make the following screening errors as often:

- Not including US Public Health Service in their introduction (12.41 percent, 7.49 percent, and 7.32 percent);
- Not confirming that the screening respondent was an adult resident of the SDU (10.53 percent, 8.48 percent, and 4.39 percent);
- Not giving the Study Description to the respondent (12.03 percent, 3.56 percent, and 1.46 percent);
- Not reading the Newton "Informed Consent" screen verbatim to the respondent (16.17 percent, 8.35 percent, and 2.93 percent);
- Not checking for missed DUs by reading the correct Newton screen verbatim (18.80 percent, 4.91 percent, and 3.95 percent);
- Not asking all roster questions verbatim (36.84 percent, 29.12 percent, and 24.60 percent);
- Not presenting project and interview information accurately when one or two household members were selected for an interview (code 31 or 32) (10.53 percent, 0.98 percent, and 0.73 percent);

- Not demonstrating a thorough knowledge of the study (18.80 percent, 5.53 percent, and 2.78 percent).

For the 17 interviewing checklist items that were common to the 2001, 2002, and 2003 observation checklists, Table 3.7.2 shows that the observation error rate was 8.62 percent in 2001, 5.45 percent in 2002, and 4.46 percent in 2003. Overall, FIs improved considerably from 2001 to 2003 in that they did not make the following interviewing errors as often:

- If the interview respondent was not screening respondent, not explaining the purpose of the study and visit thoroughly (8.40 percent, 2.37 percent, and 1.21 percent);
- Not reading the Intro to CAI from the Showcard Booklet verbatim to the respondent (17.56 percent, 2.74 percent, and 1.21 percent);
- Not setting up the equipment efficiently (12.21 percent, 2.55 percent, and 1.69 percent);
- Not asking demographic (back-end) CAPI questions verbatim (26.72 percent, 24.82 percent, and 20.53 percent);
- Not presenting Showcards when prompted by the CAI (12.98 percent, 9.12 percent, and 6.28 percent);
- Not demonstrating a thorough knowledge of the study (12.21 percent, 2.92 percent, and 2.42 percent);
- Not maintaining a pace comfortable for the respondent (6.87 percent, 2.92 percent, and 1.69 percent).

Table 3.7.1 Screening Error Rates by Year for Items Common to the 2001, 2002, and 2003 Screening Observation Checklists

Screening Error	2001 (N=266)	2002 (N=814)	2003 (N=683)
Not displaying ID Badge prominently when knocking on door	2.63% (7)	3.44% (28)	0.59% (4)
Not being on Newton "Identify SR" screen when reaching door	6.77% (18)	2.21% (18)	2.20% (15)
Not including FI NAME in introduction	0.38% (1)	0.49% (4)	0.15% (1)
Not including RTI in introduction	5.64% (15)	2.46% (20)	1.76% (12)
Not including US PUBLIC HEALTH SERVICE in introduction	12.41% (33)	7.49% (61)	7.32% (50)
Not including LEAD LETTER in introduction	1.50% (4)	0.98% (8)	0.15% (1)
If R did not recall lead letter, FI not offering one to R	3.38% (9)	1.97% (16)	1.02% (7)
Not confirming that SR was an adult resident of SDU	10.53% (28)	8.48% (69)	4.39% (30)
Not verifying that he/she was at the correct address	3.76% (10)	6.76% (55)	6.88% (47)
Not giving Study Description to respondent	12.03% (32)	3.56% (29)	1.46% (10)
Not reading Newton "Informed Consent" screen to R	16.17% (43)	8.35% (68)	2.93% (20)

Table 3.7.1 Screening Error Rates by Year for Items Common to the 2001, 2002, and 2003 Screening Observation Checklists (continued)

Screening Error	2001 (N=266)	2002 (N=814)	2003 (N=683)
Not checking for missed DUs by reading the correct Newton screen verbatim	18.80% (50)	4.91% (40)	3.95% (27)
Not asking all roster questions verbatim	36.84% (98)	29.12% (237)	24.60% (168)
Not recording race based on R answer, but on FI observation instead	4.14% (11)	2.09% (17)	2.49% (17)
Not obtaining all screening information directly from the SR (by observation or a proxy)	1.88% (5)	1.72% (14)	0.73% (5)
Not confirming accuracy and completeness of roster data with screening respondent	4.14% (11)	7.00% (57)	4.54% (31)
When one or two household members were selected for an interview (code 31 or 32), not expecting interview cooperation	2.26% (6)	0.37% (3)	0.29% (2)
When one or two household members were selected for an interview (code 31 or 32), not presenting project and interview information accurately ¹	10.53% (28)	0.98% (8)	0.73% (5)
When one or two household members were selected for an interview (code 31 or 32), not gaining respondent trust/cooperation	2.63% (7)	0.61% (5)	0.29% (2)
When one or two household members were selected for an interview (code 31 or 32), not demonstrating flexibility in scheduling interview	0.00% (0)	0.00% (0)	0.00% (0)
When one or two household members were selected for an interview (code 31 or 32), not leaving appropriate information about future interview(s) ¹	1.13% (3)	1.47% (12)	1.76% (12)
When one or two household members were selected for an interview (code 31 or 32), not making attempts to begin interview right away	1.50% (4)	0.61% (5)	0.88% (6)
Not demonstrating a thorough knowledge of study	18.80% (50)	5.53% (45)	2.78% (19)
Not delivering a courteous, straightforward presentation	3.76% (10)	0.98% (8)	1.17% (8)
Not maintaining a calm, professional, respectful demeanor	3.38% (9)	0.49% (4)	0.59% (4)
Total	7.40% (492)	4.08% (831)	2.95% (503)

¹Item wording changed slightly in 2002

Table 3.7.2 Interviewing Error Rates by Year for Items Common to the 2001, 2002, and 2003 Interviewing Observation Checklists

Interviewing Error	2001 (N=131)	2002 (N=548)	2003 (N=414)
If IR was a minor, FI not first obtaining consent from parent or legal guardian	2.29% (3)	0.91% (5)	0.48% (2)
If interview respondent was not screening respondent, not explaining purpose of study and visit thoroughly	8.40% (11)	2.37% (13)	1.21% (5)
Not reading INTRO TO CAI from Showcard Booklet verbatim to the respondent	17.56% (23)	2.74% (15)	1.21% (5)
Not choosing a private location to conduct interview	3.82% (5)	2.55% (14)	2.66% (11)

Table 3.7.2 Interviewing Error Rates by Year for Items Common to the 2001, 2002, and 2003 Interviewing Observation Checklists (continued)

Interviewing Error	2001 (N=131)	2002 (N=548)	2003 (N=414)
Not setting up equipment efficiently ¹	12.21% (16)	2.55% (14)	1.69% (7)
Not asking initial (front-end) CAPI questions verbatim	12.98% (17)	17.34% (95)	10.63% (44)
Not completing CALENDAR accurately with respondent while reading CAI script and keeping calendar where respondent could see it ¹	15.27% (20)	14.60% (80)	14.25% (59)
Not explaining HEADPHONE usage, offering headphones to R, and plugging in ¹	6.11% (8)	3.83% (21)	8.45% (35)
Not keeping ACASI portion private (read ACASI), and/or not remaining attentive	3.05% (4)	1.46% (8)	1.69% (7)
Not asking demographic (back-end) CAPI questions verbatim	26.72% (35)	24.82% (136)	20.53% (85)
Not presenting SHOWCARDS when prompted by the CAI	12.98% (17)	9.12% (50)	6.28% (26)
Not demonstrating a thorough knowledge of study	12.21% (16)	2.92% (16)	2.42% (10)
Not keeping paper forms accessible	3.05% (4)	2.19% (12)	0.72% (3)
Not speaking in a clear voice	3.05% (4)	1.82% (10)	0.97% (4)
Not maintaining a pace comfortable for the R	6.87% (9)	2.92% (16)	1.69% (7)
Not being courteous and respectful of R and surroundings	0.00% (0)	0.18% (1)	0.24% (1)
Divulging R's confidential info to others	0.00% (0)	0.36% (2)	0.72% (3)
TOTAL	8.62% (192)	5.45% (508)	4.46% (314)

¹Item wording changed slightly in 2002

4. Summary and Management Recommendations

The 2003 field observations show that FIs are generally following procedures, but continue to show some deficiencies. As in previous years, the most common errors involve FIs not reading the Newton or CAPI questions verbatim. Similar to the trend seen with the 2001 and 2002 field observations, new FIs were slightly less likely than veteran FIs to make errors. In particular, new FIs were less likely to not ask all roster questions verbatim; not complete the Calendar accurately with the respondent while reading the CAI script and keep the calendar where the respondent could see it; not explain the headphone usage, offer the headphones to the respondent, and plug in the headphones; and not ask the demographic (back-end) CAPI questions or the Quality Control form instructions verbatim. Based on these findings, we recommend placing more emphasis on these procedures in weekly FS-FI teleconferences. In contrast, new FIs were more likely to not be organized. We are optimistic that this error will occur less frequently based on our devoting a 2004 Veteran Training Conference section to being organized, and our discussing of organization during one of the 2004 New-to-Project Training sections.

Based on our finding that reobserved FIs performed better during reobservation than during a previous observation, there is reason to believe that retraining helps prevent future errors. Therefore, we are optimistic that errors will continue to decline or remain minimal in 2004 as a result of targeted training during the 2004 Veteran Training Conference and continual retraining by FSs during weekly conference calls. In addition, data from the observations will continue to be used in conjunction with other data quality measures to identify focus areas highlighted during weekly FS-FI e-mail messages, in "Data Quality Items of the Week" during the first two months of every quarter, in monthly procedural e-mails sent to the FI work force, and in the eVal questionnaires completed during Quarters 2 and 3.

Overall, FIs who were observed in 2003 committed fewer errors than FIs observed in 2001 and 2002 on the common screening and interviewing checklist items. These findings are consistent with our findings that reobserved FIs committed fewer errors during their second observation in 2003 than during their first observation in 2002. We believe that these results are largely due to ongoing retraining that stemmed from previous field observation results, leading to continuous quality improvement in data collection over the past few years.

It remains troubling to see that many FIs continue to not read questions verbatim. One possible solution to this problem could be to make minor changes to screening or interviewing questions to make the questions flow more naturally, as we did with the 2004 instruments. However, it is important to note that the minimum criterion upon which an FI was marked as making one of these errors was a failure to read one word of one question exactly as written. Most FIs who did not read questions verbatim only missed reading a few portions of the questions verbatim. In addition, observer notes indicate that many of the questions that were paraphrased by the FI did not appear to change the meaning of the question. Moreover, FIs have continually improved since 2001 in that they are now less likely to not read the Newton "Informed Consent" screen verbatim, not ask all roster questions verbatim, not read the "Intro to

CAI" verbatim, and not ask demographic (back-end) CAPI questions verbatim. Although we will continue to focus more attention on training FIs to read questions verbatim, we feel that the data have not been compromised as much as the high percentages of errors may initially indicate.

In summary, we recognize that information gathered from field observations is very valuable for identifying negative trends that need to be addressed through retraining and improvements made to our project training programs. As an additional method for maintaining a low incidence of procedural errors, we recommend continuing to use field observation results to drive the content of the ongoing training methods listed above. Because of the errors seen among interviewers, we recommend continuing to conduct field observations throughout the year.

Appendix A

2003 Field Observations Field Materials

2003 NSDUH Field Observations
Field Observer Reference Sheet

Welcome to the 2003 NSDUH Field Observation Process! Field observations are being conducted throughout the United States in order to gain a better understanding of the NSDUH screening and interviewing process. Observing actual fieldwork will provide feedback that will help us improve new-to-project and veteran FI training programs.

This document covers the materials and procedures that you will use in preparing for and conducting field observations. You should take some time to read and study all of the materials before going out to observe an FI.

The specific items you will need are:

- Field Observer Reference Sheet (this document, which contains Field Observations Observer Instructions and the Field Observations Task List)
- Field Observations FI Instructions
- Screening Observation Checklist
- Interviewing Observation Checklist
- 2003 NSDUH CAI Script
- 2003 NSDUH Screening Scripts

In 2003, we plan to observe at least 300 interviews completed by 300 different FIs over quarters 2, 3, and 4. You can anticipate making 1-3 observation trips per quarter yourself. The procedures and protocols for field observations in 2003 are very similar to those we used in 2002. However, there are 3 main changes for 2003 of which you should be aware:

1. FSs may now observe veteran FIs who work on their team, provided that doing so does not incur high travel costs. This will enable FSs to directly observe their FIs' performance and to see up-close the segments in which the FIs are working.
2. In 2003, all time spent preparing for and conducting field observations should be charged to project task 7190-562.
3. There is a new question on the field observation checklists – "Would you recommend that this FI be observed again?" This question is to be answered AFTER you have completed the field observation with the FI but before you enter the information from the checklists into the web. See the Field Observations Observer Instructions form for direction on making this recommendation.

When it is time for you to conduct an observation, you will be sent via e-mail the name of the FI to observe. You should first contact the FS of that FI to make sure that FI has an assignment for the quarter. You should then contact the FI and make arrangements to observe him/her. You should plan observation trips as far in advance of the trip as possible (14-day minimum if you are flying to the segment). Once trip plans are finalized, send an e-mail to Janelle Perkins, copying the managing FS and RS and your supervisor, detailing the trip plans. [Note that the managing FS and RS should be copied on all e-mails related to observations of their FIs.]

All observations should be scheduled during the most productive times of the day and days of the week. You should expect to observe FIs in the evenings and/or on weekend days. You should accommodate the FI's work schedule. If while on an observation trip you observe a completed interview and there are no more viable cases expected for that day, the trip should be ended unless this would lead to flight penalties. Before ending an observation trip early, contact Janelle Perkins to confirm (800-334-8571, ext 3915).

Prior to conducting an observation, you should check the Downloadable Project Forms and Report Shells page to make sure you have the latest version of all field observation forms and documents. You can determine whether the version you have is the latest version by comparing the "revised" date in the upper right-hand corner of each document. If your version is not the latest, print the latest version of the document(s) for use in conducting your field observation.

The Screening and Interviewing Observation Checklists were designed for you to complete while in the household observing an FI. You should complete a hard-copy Screening Observation Checklist for each screening you observe that ends in a code 22, 25, 26, 30, 31, or 32. You should complete a hard-copy Interviewing Observation Checklist for each completed interview you observe. On the first page of each checklist you should fill in general information about the FI being observed and the segment being worked. On subsequent pages you should follow along with the FI and check "Correct," "Error," or "N/ A." for each procedure listed. If you observe an error that is not listed on the checklist, check "Error" beside "Other Procedure Violation not noted on this Checklist" and describe the specific error you saw. As you complete the checklists, compare the FI's performance to the NSDUH "Gold Standard" screening and interview we consider when conducting certifications. At the end of the day, transfer information from the paper checklists into the field observations web entry system.

Upon meeting an FI in the segment, confirm that he/she has read the FI instructions. Answer any questions the FI has before you approach an SDU. Do not allow the FI to see the Screening Observation Checklist or Interviewing Observation Checklist.

All time spent planning, preparing for, and conducting 2003 field observations should be charged to project number 07190.562. FSs will be allowed overtime for observation work; however we would like for FSs to work as efficiently as possible in all project responsibilities in order to minimize overtime charges. Time spent on field observation trips by RTI staff may be eligible for compensatory or extended time, both of which must be pre-approved by the project and administrative supervisor. In cases where extended time is allowed, RTI staff will be notified on a monthly basis.

If you have any questions at all before proceeding to the field to observe, send an e-mail to the [NSDUH] **2003 Field Observations** Outlook distribution list.

Thank you for your help with the 2003 NSDUH Field Observations!

Field Observations Observer Instructions

Before contacting an FI to set up an observation trip, contact the managing FS to confirm that the FI has an assignment and to request that the FS send a copy of the Field Observation FI Instructions to the FI. When you contact the FI to set up an observation trip you should explain that the purpose of conducting field observations is to gain a better understanding of the NSDUH screening and interviewing process. Field observations will provide excellent feedback that will help us improve new-to-project and veteran FI training programs.

Before starting a screening or interview with you present, the FI must introduce you to the respondent and get the respondent's permission for you to observe the screening or interview.

For contacts with Screening Respondents, the FI should add the italicized text below to the Newton Intro Screen:

- Hello, my name is _____ *and this is [NAME OF RTI OR SAMHSA OBSERVER] from [RESEARCH TRIANGLE INSTITUTE IN NORTH CAROLINA/US PUBLIC HEALTH SERVICE].* We are in your neighborhood conducting a nationwide study sponsored by the U.S. Public Health Service....
- **IF NECESSARY:** The FI can explain more about why the observer is there using information scripted for interview contacts below.

For contacts with Interview Respondents, the FI should do the following:

- FI introduces self.
- FI says: "I'd like to introduce you to *[NAME OF RTI OR SAMHSA OBSERVER]*. As a part of the project's quality control procedures, he/she will be observing my work today.
- **IF NECESSARY:** "He/she will **NOT** be observing your specific responses to the interview questions. He/she is only interested in observing the overall interviewing process. He/she has signed the same Confidentiality Pledge that I have signed, assuring you that both of us will keep your information private."
- FI asks, "Is it OK with you for him/her to observe your interview today?"

If YES (R agrees to allow the observer to observe): FI reads Intro to CAI script

If NO (R does not agree to allow the observer to observe): FI will excuse the observer and proceed with the interview administration solo.

The FI should not try to involve you in the screening or interviewing process. You should intervene only you observe a serious mistake (e.g., the FI is at the wrong SDU, the FI has not gained parental or legal guardian permission before asking a minor to participate). If you observe a serious mistake, you must note this error beside "Other Procedure Violation not noted on this Checklist" on the corresponding screening or interviewing observation checklist that you complete for that FI.

The FI should not look to you for answers to respondent questions; the FI should simply ignore you and proceed with the screening or interview. You may answer questions about SAMHSA, RTI, or the NSDUH if the answer is general knowledge AND the FI either does not know the answer OR the FI's reply did not satisfy the respondent's inquiry. In all other cases do not expand upon a FI's answer to a question even if you know more or feel that you could clarify an FI's answer to a question. Do not make any statements that are controversial or biasing to the respondent. If the FI wants to discuss something with you after leaving the SDU, that is fine; however, minimum exchange should occur between the FI and you while SDU members are present.

You must adhere to the same confidentiality requirements as the FI. You must never discuss the specifics of any cases outside the project team.

You should complete the Screening Observation Checklist and Interviewing Observation Checklist in hard copy using a clipboard or hard binder while at the household observing a screening or interview. You should wait until after you have completed observation of the FI to complete the final question on the forms: "Would you recommend that this FI be observed again?" Before answering this question, review all of the completed observation checklists and consider the FI's performance throughout the day. You should recommend to re-observe an FI who makes significant errors or shows a need for improvement, as demonstrated by a general lack of knowledge or a propensity for errors. A "propensity for errors" would be evident if an FI repeated 4 or more unrelated errors during multiple screenings or repeated 4 or more unrelated errors during multiple interviews. You should also recommend to re-observe an FI if the FI committed one or more "serious breaches of protocol" - those errors which when committed by an FI could potentially violate a respondent's rights and/or significantly compromise the accuracy of the data collected. Examples of serious breaches of screening protocol include:

- Not confirming that the screening respondent was an adult resident of the SDU
- Not reading the Newton Informed Consent screen to the screening respondent
- Not obtaining all screening information directly from a valid screening respondent but instead by observation or proxy
- Making biasing or inappropriate remarks

Examples of serious breaches of interviewing protocol include:

- Not first obtaining consent from a parent or legal guardian to conduct the interview when the interview respondent was a minor
- Not reading the Intro to CAI script from the Showcard Booklet verbatim to the respondent
- Divulging respondent's confidential information to others
- Making biasing or inappropriate remarks

Once you have made your recommendation on whether to re-observe, transfer the information from the paper checklist(s) into the corresponding web observation form(s). All information should be entered into the web within 24 hours of completing the observation.

You should document the ID of all cases you observe that involve face-to-face contact between an FI and anyone at the SDU (Finalized or Non-Finalized) but are not documented on a completed observation checklist (this would include all cases that do not end with a final code of 22, 25, 26, 30, 31, 32, or 70). To do this, download and print from the Downloadable Project Forms and Report Shells a copy of the "Obs Cases not Documented on Obs Checklist Worksheet" and on it record the following information for all cases that you observe: Date of Observation, Case ID, Result Code, Observer Last Name, Observer First Name, FI Last Name, and FI First Name. If you observe any errors during your observation of these cases, in the spreadsheet provide a detailed description of what happened. After each field observation trip, enter all of this information into the file and send it to Janelle Perkins (jperkins@rti.org).

You should not give any observation feedback to the FI during or after the observation. If the FI asks you for feedback, you should state that you have taken some notes, you will be sending that information to RTI staff, and that the FI will receive more information at a later time. In the event that the FI offers project related feedback to you (such as notable material development issues or suggestions), please forward those comments to Andrea Moffat [amoffat@rti.org] and Janelle Perkins [jperkins@rti.org].

FIs should not see the Screening Observation Checklist or Interviewing Observation Checklist prior to an observation. If you are the managing FS, RS, or RD and provide observation feedback to the FI, you may show the FI the completed checklists at the end of an observation trip but you may not give the FI a copy of the checklists.

As soon as you have completed all of the field observations you will be conducting for the quarter, ship all completed hardcopy field observation checklists to Jim Brantley at RTI.

Any questions about field observations should be directed to the [NSDUH] 2003 Field Observations

2003 Field Observer Task List

Please follow these steps while planning and conducting field observation trips. It is not necessary to actually complete or submit this form; it is designed as a helpful tool so you do not skip any protocol steps.

Enter a check mark in the space provided as you complete each item.

A. TRAVEL PREPARATION

- ___ 1. **Receive Field Observation Assignment. Obtain contact information for the FI from the General Information link in the web.**
- ___ 2. **Contact the FI's Field Supervisor to ensure the FI has a work assignment. Instruct the FS to send a copy of the FI Field Observations Instructions to the FI.**
- ___ 3. **Contact the Field Interviewer and discuss:**
 - ___ a) **Workload**
 - ___ b) **Date most convenient for observation to take place (weekends are preferred due to likelihood of completing interviews and to allow for lower airfare, if applicable)**
 - ___ c) **Determine based on workload the type of trip this will be (local, overnight driving, overnight flying)**
- ___ 4. **Once the date of observation has been determined, send the following information in an e-mail to Janelle Perkins, copying the managing FS and RS, and your supervisor:**
 - ___ a) **Date of observation trip**
 - ___ b) **Name of FI to be observed**
 - ___ c) **Type of trip (local, overnight driving, overnight flying)**
- ___ 5. **Are flight arrangements necessary?**
 - YES** continue with 6. **NO** Skip to Field Preparation.
- ___ 6. **Make flight and rental car arrangements with Navigant Travel (1-877-612-3370) at least 14 days prior to scheduled trip.**
- ___ 7. **Send completed Flight information Shell to Susan Beauvais, copying Janelle Perkins and your supervisor.**

B. FIELD PREPARATION

- _____ 1. Download the most recent forms from the Field Observation box on the Downloadable Project Forms and Report Shells page:
 - _____ a) **Field Observation FI Instructions Form**: You should hand a copy of this form to the FI when you meet him/her in the field. It contains the script the FI is to read to the respondent when introducing you and your role as the observer.
 - _____ b) **Field Observer Reference Sheet**: This form contains the script the FI is to read to the respondent when explaining your presence. It also outlines your role and responsibilities as the observer.
 - _____ c) **2003 NSDUH Newton Screening Scripts**: Print and read through this file before going to the field. Use the script while observing an FI conducting a screening so you can check whether he/she reads the Newton screens verbatim.
 - _____ d) **2003 NSDUH CAI Script**: Print and read through this file before going to the field. Use the script to while observing an FI conducting an interview so you can check whether he/she reads the CAI screens verbatim.
 - _____ e) **Screening Observation Checklist**: One copy of this form must be completed for each screening case you observe than ends in a code 22, 25, 26, 30, 31, or 32. You should complete this checklist in hard copy using a clipboard or hard binder while at the household observing a screening.
 - _____ f) **Interviewing Observation Checklist**: One copy of this form must be completed for each completed interview you observe. You should complete this checklist in hard copy using a clipboard or hard binder while at the household observing an interview.
- _____ 2. Make sufficient copies of both the screening and interviewing checklists before going into the field (one for each screening and one for each interview).
- _____ 3. Observe the FI. Document comments only for errors seen during your observation. Pass along positive feedback to the managing FS, but send via e-mail separate from any negative feedback, as noted below.

C. AFTER THE OBSERVATION

- _____ 1. After you have completed the observation, indicate in the designated section of the screening and interviewing checklists whether or not you recommend that the FI you observed be re-observed in the future.

- _____ 2. **Enter data from your checklists into the field observations web entry system. Complete and enter the checklists into the web within 24 hours of completing your observation. Make sure to enter only those comments that reflect an error on the part of the FI.**
- _____ 3. **Send an e-mail to the FS, copying the RS, RD, and [NSDUH] 2003 Field Observations, sharing positive feedback about the FI's performance.**
- _____ 4. **Download and complete the Observed Cases not Documented on Observation Checklist Worksheet from the Web. Complete and send this within 24 hours of completing your observation to Janelle Perkins [jperkins@rti.org].**
- _____ 5. **In the event that the FI offers project related feedback to you, please forward those suggestions/comments to Andrea Moffat [amoffat@rti.org] and Janelle Perkins [jperkins@rti.org].**
- _____ 6. **As soon as you have completed all of the field observations you will be conducting for the quarter, please ship all completed hardcopy field observation checklists to Jim Brantley at RTI**

2003 Field Observations FI Instructions

Welcome to the Field Observation component of the 2003 NSDUH!

You have been selected to be observed by an RTI or SAMHSA representative. This observation will take place while you are conducting your fieldwork. The goal of these field observations is to gain a better understanding of the NSDUH screening and interview process. As a result of this observation, both you and the field observer will be able to provide feedback that will help improve our new-to-project and veteran FI training programs.

Before starting a screening or interview, you must introduce the observer to the respondent and gain the respondent's permission for the observer to be present.

For contacts with Screening Respondents, you should add the italicized text below to the Newton Intro Screen:

- "Hello, my name is _____ *and this is [NAME OF RTI OR SAMHSA OBSERVER] from [RESEARCH TRIANGLE INSTITUTE IN NORTH CAROLINA/US PUBLIC HEALTH SERVICE].* We are in your neighborhood conducting a nationwide study sponsored by the U.S. Public Health Service...."
- **IF NECESSARY:** Explain more about why the observer is there using information scripted for interview contacts below.

For contacts with Interview Respondents, you should do the following:

- Introduce yourself.
- Say, "I'd like to introduce you to *[NAME OF RTI OR SAMHSA OBSERVER]*. As a part of the project's quality control procedures, he/she will be observing my work today."
- **IF NECESSARY:** "He/she will **NOT** be observing your specific responses to the interview questions. He/she is only interested in observing the overall interviewing process. He/she has signed the same Confidentiality Pledge that I have signed, assuring you that both of us will keep your information private."
- Ask, "Is it OK with you for him/her to observe your interview today?"

If YES (R agrees to allow the observer to observe): Read Intro to CAI script

If NO (R does not agree to allow the observer to observe): Excuse the observer and proceed with the interview administration solo.

As you complete screenings and interviews the observer will be taking notes. Do not be concerned about the specific comments or notes that the observer makes. The observer will not be giving you specific feedback on the observation unless the observer is your FS, RS, or RD. In

those cases the observer will share feedback with you at the end of the observation trip. If your observer is not your FS, RS, or RD, your FS will provide observation feedback at a later time.

Do not try to involve the observer in the screening or interviewing process. If a respondent has a question, you should not look to the observer for the answer. The observer will answer a question only if the question is neutral and general AND you either do not know the answer OR your reply did not satisfy the respondent's inquiry.

When answering the CAI FI debriefing question FIDBF07, you should NOT consider the field observer as "another person."

If you would like to discuss something with the observer after leaving the SDU, that is fine; however, minimum exchange should occur between you and the observer while SDU members are present.

Feel free to offer project related feedback to the observer that you would like to have passed along to the project staff. Your suggestions are welcome and appreciated!

NOTICE: Public reporting burden (of time) for this collection of information is estimated to average 5 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, SAMHSA Reports Clearance Officer; Paperwork Reduction Project (0930-0110); Room 16-105; Parklawn Building; 5600 Fishers Lane; Rockville, MD 20857. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0110.

OMB No: 0930-0110
Expires: mm-dd-yy

2003 NSDUH HU SCREENING SCRIPT FOR NEWTON

Hello, my name is _____ from Research Triangle Institute in North Carolina. We are in your neighborhood conducting a nationwide study sponsored by the U.S. Public Health Service. You should have received a letter explaining the study. (HAND R COPY OF LETTER IF NEEDED.)

First, just let me verify: do you live here?

IF NOT OBVIOUS: **And are you 18 or older?**

IF NO TO EITHER, ASK FOR AN ADULT RESIDENT AND BEGIN AGAIN.

SR AVAILABLE (CONTINUE)

SR NOT AVAILABLE NOW (GO TO RECORD OF CALLS)

I just need to verify — is this [READ COMPLETE ADDRESS INCLUDING CITY, STATE, AND ZIP]?

ADDRESS IS CORRECT (CONTINUE)

NEED TO EDIT ADDRESS

FI AT WRONG ADDRESS

GIVE PERSON STUDY DESCRIPTION AND SAY: Please read this statement. It describes the survey, legislation that assures the confidentiality of any information you provide, and states that your participation is voluntary. If anyone in your household is selected for the full interview, the person will receive a \$30 cash payment once the interview is completed.

[FOR REGULAR HUs SUCH AS INDIVIDUAL HOUSES, TOWNHOUSES, DUPLEXES, TRAILERS, COTTAGES]: **Are there any other living quarters within this structure or on this property, such as a separate apartment with a separate entrance?**

YES (GO TO MISSED DU ADDRESS SCREEN)

NO (CONTINUE)

[APARTMENT/CONDO BUILDINGS HUs]: CONTINUE

REFERENCE MONTHS: QTR 1 = JANUARY / FEBRUARY / MARCH QTR 3 = JULY /
AUGUST / SEPTEMBER
QTR 2 = APRIL / MAY / JUNE QTR 4 = OCTOBER / NOVEMBER
/ DECEMBER

(Will/Have) you or anyone else in this household (live/lived) here for most of the time during the months of [REFERENCE MONTHS]?

(Including yourself), how many people in this household (will live/lived) here for most of the time during the months of [REFERENCE MONTHS]? (Do not include anyone who lived at school or somewhere else for most of the time during the months of [REFERENCE MONTHS])

Of these [#] people, how many are now age 12 or older?

→IF MORE THAN 1 PERSON IN THE HOUSEHOLD, CONTINUE.
→IF ONLY 1 PERSON IN THE HOUSEHOLD, SKIP TO AGE.

Next I would like to ask a few questions about the people who live here. Let's start with the person or one of the persons living here who owns or rents this home. We'll refer to this person as the householder.

Please tell me (your age on your/the age of this person on his or her) last birthday.

ASK ONLY IF NOT OBVIOUS: Is this person male or female?

(Are you/Is (he/she)) of Hispanic, Latino or Spanish origin? (That is, do any of these groups describe (your/his/her) national origin or ancestry—Puerto Rican, Cuban, Cuban-American, Mexican, Mexican-American, Chicano, Central or South American, or origin in some other Spanish-speaking country?)

(Are you/Is (he/she)) White, Black or African American, American Indian or Alaska Native, Native Hawaiian or other Pacific Islander, or Asian? [MARK ALL THAT APPLY]

ASK ONLY IF PERSON LISTED IS 17 TO 65 YEARS OLD: (Are you/Is (he/she)) currently on active duty in the military? [NEWTON AUTOMATICALLY RECORDS NO FOR ANYONE 12-16 OR 66+]

[NEWTON SCRIPT WILL CONFIRM ROSTER INFORMATION]

→ IF MORE THAN 1 PERSON, WILL ASK: Is this the Screening Respondent? AND CONTINUE.
→ IF ONLY 1 PERSON, WILL SKIP TO INELIGIBLE FOR QUARTER QUESTION.

Now I need some general information about (the other person/all of the other people) in this household who (is/are) 12 years old or older and who (will live/lived) here for most of the time during the months of [REFERENCE MONTHS]. IF MORE THAN 2 HOUSEHOLD MEMBERS: (Let's start with the oldest and work down to the youngest person 12 years or over.)

REPEAT SERIES OF QUESTIONS FOR ALL HOUSEHOLD MEMBERS AGE 12 AND OLDER.:

Please tell me the age of (this/the oldest/the next oldest) person on his or her last birthday.

How is this person related to the householder?

ASK ONLY IF NOT OBVIOUS: Is this person male or female?

Is (he/she) of Hispanic, Latino or Spanish origin? (That is, do any of these groups describe (his/her) national origin or ancestry—Puerto Rican, Cuban, Cuban-American, Mexican, Mexican-American, Chicano, Central or South American, or origin in some other Spanish-speaking country?)

Is (he/she) White, Black or African American, American Indian or Alaska Native, Native Hawaiian or other Pacific Islander, or Asian? [MARK ALL THAT APPLY]

Is (he/she) currently on active duty in the military?

[NEWTON SCRIPT CONFIRMS ROSTER INFORMATION FOR EACH HOUSEHOLD MEMBER, THEN ASKS: Is this the Screening Respondent? UNTIL A SCREENING RESPONDENT IS IDENTIFIED.]

I need to make sure this list is accurate. I have listed... [READ AGES AND RELATIONSHIPS ROSTERED]. TAP ANY LINE TO MAKE A CORRECTION. WHEN ALL CORRECT, TAP 'CONTINUE.'

(Have/Will) (all of these people/this person) (lived/live) here for most of the time during the months of [REFERENCE MONTHS]? (Please let me know if I have included anyone who (will live/lived) at school or somewhere else for most of the time during [REFERENCE MONTHS].) FOR EACH INDIVIDUAL NOT ELIGIBLE FOR SELECTION, TAP THE LINE WITH HIS/HER DATA AND CHANGE THE ELIGIBILITY FIELD TO INELIGIBLE.

Is there anyone we missed who is 12 or older and who (will live/was living) here for most of the time during the months of [REFERENCE MONTHS]? (Do not include anyone who (will live/lived) at school or somewhere else for most of the time during [REFERENCE MONTHS].) IF YES, TAP THE 'ADD MEMBER' BUTTON TO ADD EACH ELIGIBLE MEMBER NOT PREVIOUSLY LISTED.

TAP 'MAKE SELECTION' BUTTON. NEWTON WILL SHOW RESPONDENT SELECTION SCREEN. IF ANYONE IS SELECTED, IT WILL SHOW INFORMATION ABOUT HOUSEHOLD MEMBERS SELECTED FOR INTERVIEW(S). IF NO ONE IS SELECTED, NEWTON GOES TO VERIFICATION SCREEN. **So that my supervisor may check the quality of my work, may I please have your first name and telephone number.**

NOTICE: Public reporting burden (of time) for this collection of information is estimated to average 5 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, SAMHSA Reports Clearance Officer: Paperwork Reduction Project (0930-0110); Room 16-105; Parklawn Building; 5600 Fishers Lane; Rockville, MD 20857. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0110.

OMB No: 0930-0110
Expires: mm-dd-yy

2003 NSDUH GQU SCREENING SCRIPT FOR NEWTON

Hello, my name is _____ from Research Triangle Institute in North Carolina. We are in your neighborhood conducting a nationwide study sponsored by the U.S. Public Health Service. You should have received a letter explaining the study. [HAND R COPY OF LETTER IF NEEDED.]

First, just let me verify: do you live here?

IF NOT OBVIOUS: And are you 18 or older?

IF NO TO EITHER, ASK FOR AN ADULT RESIDENT AND BEGIN AGAIN.

- . SR AVAILABLE (CONTINUE)
- . SR NOT AVAILABLE NOW (GO TO RECORD OF CALLS)

I just need to verify — is this [READ COMPLETE ADDRESS INCLUDING CITY, STATE, AND ZIP]?

- . ADDRESS IS CORRECT (CONTINUE)
- . NEED TO EDIT ADDRESS
- . FI AT WRONG ADDRESS

GIVE PERSON STUDY DESCRIPTION AND SAY: Please read this statement. It describes the survey, legislation that assures the confidentiality of any information you provide, and states that your participation is voluntary. If anyone is selected for the full interview, the person will receive a \$30 cash payment once the interview is completed.

IF TRANSIENT SHELTER: ARE THE LISTED UNITS...

- . ROOMS,
- . BEDS, OR [GO TO AGE QUESTION]
- . PERSONS? [GO TO AGE QUESTION]

IF LISTED BY ROOM: (Including yourself), how many people are staying in this room?

IF LISTED BY ROOM: How many of these [#] people are now age 12 or older? [GO TO AGE QUESTION]

REFERENCE MONTHS: QTR 1 = JANUARY / FEBRUARY / MARCH QTR 3 = JULY / AUGUST / SEPTEMBER
QTR 2 = APRIL / MAY / JUNE QTR 4 = OCTOBER /
NOVEMBER/DECEMBER

IF NOT TRANSIENT SHELTER: (Will/Did) you or anyone else in this room live here for most of the time during the months of [REFERENCE MONTHS]?

IF NOT TRANSIENT SHELTER: (Including yourself), how many people (live/lived) in this room for most of the time are during the months of [REFERENCE MONTHS]?

IF NOT TRANSIENT SHELTER: Of these [#] people, how many are now age 12 or older?

Please tell me (your age on your/the age of this person on his or her) last birthday.

What is (your/this person's) first name?

ASK ONLY IF NOT OBVIOUS: **Is this person male or female?**

(Are you/Is (he/she)) of Hispanic, Latino or Spanish origin? (That is, do any of these groups describe (your/his/her) national origin or ancestry—Puerto Rican, Cuban, Cuban-American, Mexican, Mexican-American, Chicano, Central or South American, or origin in some other Spanish-speaking country?)

(Are you/Is (he/she)) White, Black or African American, American Indian or Alaska Native, Native Hawaiian or other Pacific Islander, or Asian? [MARK ALL THAT APPLY]

ASK ONLY IF PERSON LISTED IS 17 TO 65 YEARS OLD: **(Are you/Is (he/she)) currently on active duty in the military?** [NEWTON WILL AUTOMATICALLY RECORD NO FOR ANYONE 12-16 OR 66+]

NEWTON SCRIPT WILL CONFIRM ROSTER INFORMATION AND WILL ALWAYS CODE THE FIRST PERSON LISTED AS THE SCREENING RESPONDENT.

IF MORE THAN 1 PERSON: **Now I need some general information about (the other person who is/all of the other people who are) 12 years old or older and who (will live/lived) in this room for most of the time during the months of [REFERENCE MONTHS]. (Let's start with the oldest and work down to the youngest person 12 years or over.)**

Please tell me the age of (this/the oldest/the next oldest) person on his or her last birthday. [REPEAT SERIES OF QUESTIONS FOR ALL GQU UNIT OCCUPANTS AGE 12 AND OLDER.]

What is this person's first name?

ASK ONLY IF NOT OBVIOUS: **Is this person male or female?**

Is (he/she/) of Hispanic, Latino or Spanish origin? (That is, do any of these groups describe (his/her) national origin or ancestry—Puerto Rican, Cuban, Cuban-American, Mexican, Mexican-American, Chicano, Central or South American, or origin in some other Spanish-speaking country?)

Is (he/she) White, Black or African American, American Indian or Alaska Native, Native Hawaiian or other Pacific Islander, or Asian? [MARK ALL THAT APPLY]

ASK ONLY IF PERSON LISTED IS 17 TO 65 YEARS OLD: **Is (he/she) currently on active duty in the military?** [NEWTON WILL AUTOMATICALLY RECORD NO FOR ANYONE 12-16 OR 66+]

NEWTON SCRIPT WILL CONFIRM ROSTER INFORMATION FOR EACH GQU MEMBER.

I need to make sure this list is accurate. I have listed... [READ LIST OF GQU OCCUPANTS' AGES AND NAMES]. REVIEW ROSTER FOR ACCURACY AND COMPLETENESS. TAP ANY LINE TO MAKE A CORRECTION. WHEN ALL CORRECT, TAP 'CONTINUE.'

IF NOT TRANSIENT SHELTER:

MORE THAN 1 PERSON: **(Have/Will) all of these people (lived/live) in this room for most of the time during the months of [REFERENCE MONTHS]?**

1 PERSON: **(Has/Will) this person (lived/live) in this room for most of the time during the months of [REFERENCE MONTHS]?**

FOR EACH INDIVIDUAL NOT ELIGIBLE FOR SELECTION, TAP THE LINE WITH THEIR DATA AND CHANGE THE ELIGIBILITY FIELD TO INELIGIBLE.

IF NOT TRANSIENT SHELTER: **Is there anyone we missed who is 12 or older and who (will live/was living) in this room for most of the time during the months of [REFERENCE MONTHS]? IF YES, TAP THE 'ADD MEMBER' BUTTON TO ADD EACH ELIGIBLE MEMBER NOT PREVIOUSLY LISTED.**

TAP 'MAKE SELECTION' BUTTON AND NEWTON WILL SHOW RESPONDENT SELECTION SCREEN WITH INFORMATION ABOUT GQU MEMBERS SELECTED FOR 'A' AND 'B' INTERVIEWS IF ANYONE IS SELECTED.

IF NO ONE IS SELECTED, NEWTON WILL GO TO VERIFICATION SCREEN WHERE FI WILL ENTER TELEPHONE NUMBER OF SCREENING RESPONDENT. **So that my supervisor may check the quality of my work, may I please have your first name and telephone number?**

NEWTON WILL FINAL CODE CASE OR FI WILL ENTER PENDING OR FINAL CODE AS APPROPRIATE AT ADD CALL RECORD SCREEN.

**2003 National Survey on Drug Use and Health
CAI SCRIPT**

Core Demographics

age1 What is your date of birth?

 ENTER MM-DD-YYYY

confdob [IF AGE1 NE DK OR REF] I have entered your date of birth as [AGE1]. Is this correct?

 1 YES
 2 NO

confirm [IF AGE1 NE DK/REF AND CONFDOB NE DK/REF] That would make you [CALCAGE] years old. Is this correct?
1 YES
2 NO

QD01 The first few questions are for statistical purposes only, to help us analyze the results of the study.

 INTERVIEWER: RECORD RESPONDENT'S GENDER.

 5 MALE
 9 FEMALE

QD03 Are you of Hispanic, Latino, or Spanish origin or descent?

 1 YES
 2 NO

QD04 [IF QD03 = 1] HAND R SHOWCARD 1. Which of these Hispanic, Latino, or Spanish groups best describes you? Just give me the number or numbers from the card.

QD04othr [IF QD04 = 5] Please tell me which other Hispanic, Latino or Spanish group best describes you.

QD05 HAND R SHOWCARD 2. Which of these groups describes you? Just give me the number or numbers from the card.

QD05ASIA [IF QD05 = 6] HAND R SHOWCARD 3. Which of these Asian groups describes you? Just give me the number or numbers from the card.

QD05OTHA [IF QD05ASIA = 7] Please tell me which other Asian group or groups describes you.

QD05OTHR [IF QD05 = 7] Please tell me which other racial group or groups describes you.

QD07 [IF CURNTAGE = 15 OR OLDER] Are you now married, widowed, divorced or separated, or have you never married?

- 1 MARRIED
- 2 WIDOWED
- 3 DIVORCED OR SEPARATED
- 4 HAVE NEVER MARRIED

INTERVIEWER NOTE:
If the respondent is divorced but currently remarried, code as married.
By "divorce" we mean a legal cancellation or annulment of a marriage.
By "separated" we mean legally or informally separating due to marital discord.

QD08 [IF QD07 = 1 OR 2 OR 3] How many times have you been married?

NUMBER OF TIMES: [RANGE: 1 - 9]

QD09 [IF CURNTAGE = 17 OR OLDER] Have you ever been in the United States' armed forces?

- 1 YES
- 2 NO

QD10 [IF QD09 = 1 OR DK/REF] Are you **currently** on **active** duty in the armed forces, in a reserves component, or now separated or retired from either reserves or active duty?

QD11 HAND R SHOWCARD 4. What is the highest grade or year of school you have **completed**?

Please tell me the number from the card.

INCLUDE JUNIOR OR COMMUNITY COLLEGE ATTENDANCE; DO NOT INCLUDE TECHNICAL SCHOOLS (BEAUTICIAN, MECHANIC, ETC.).

QD12 This question is about your overall health. Would you say your health in general is excellent, very good, good, fair, or poor?

calendar CALENDAR

Throughout the rest of this questionnaire you will be asked to answer a number of questions about three specific time periods, namely the past 30 days, the past 12 months, and your lifetime. To help you remember the first two time periods, let's mark this calendar with the beginning dates for each one of them.

SHOW CALENDAR TO RESPONDENT.

Now let's think about the past 30 days. According to the calendar [DATEFILL] was 30 days ago, so I will write [DATEFILL] here on the calendar. I'll call that your 30-day reference date.

WRITE 30-DAY REFERENCE DATE ON CALENDAR AND CIRCLE DAY; UNDERLINE ENTIRE 30-DAY PERIOD.

A number of questions will ask about the past 12 months, that is since this date last year. Let's look at the calendar and find that date — [DATEFILL] . I'll call that your 12-month reference date.

WRITE 12 MONTH REFERENCE DATE ON CALENDAR, AND CIRCLE DAY ON CALENDAR.

Please use this calendar as we go through the interview to help you remember when different things happened. I will remind you to think about your 30-day reference date and your 12-month reference date when I ask you questions.

PRESS [ENTER] TO CONTINUE.

Beginning ACASI Section

IntroAcasi1 An important part of this interview is the sections you will conduct completely on your own using the computer and the headphones. Before you begin, I will help you go through a short practice session to learn how to use the computer. Let me quickly point out the keys you will use. The computerized practice session that follows will go through what each key does in greater detail.

MOVE COMPUTER SO RESPONDENT CAN USE IT AND POINT OUT THE FOLLOWING:

[POINT TO THE ROW OF FUNCTION KEYS] First, these are the function keys. The function keys and what they do are labeled for you.

[POINT TO F3] If you don't know the answer to a question, press F3.

[POINT TO F4] If you don't want to answer a question, press F4.

[POINT TO THE ROW OF NUMBER KEYS] These are the number keys

[POINT TO THE ENTER KEY] The Enter key is here,
[POINT TO THE SPACE BAR] the space bar is here,
[POINT TO THE BACKSPACE KEY] and the Backspace key is here

[POINT TO THE BOTTOM OF THE SCREEN] The answers that you enter will show up here at the bottom of the screen.

[POINT TO ON/OFF SWITCH] This button up here turns the machine on and off. Please do not press it! It will turn the machine off, and we'll lose the interview.

[POINT TO TOUCHPAD] Also, please do not touch this pad. This will disable the interview.

PRESS [ENTER] TO CONTINUE.

IntroAcasi2 Please put on your headphones.

You can adjust the volume here [POINT TO VOLUME ADJUSTMENT BUTTON ON SIDE OF COMPUTER]
or here [DEMONSTRATE VOLUME ADJUSTMENT ON THE HEADPHONE CORD].

When you are ready, let me know, and we'll press the "1" key to continue. The next screen will allow you to adjust the volume on your headphones.

ONCE RESPONDENT HAS HEADPHONES ON, PRESS "1" TO CONTINUE.

HeadPhone We have set up this screen to play while you adjust the volume in your headphones. When you have adjusted the volume to a level that is comfortable to you, press the large [ENTER] key on the right side of the keyboard to continue with the practice session. The [ENTER] key is the one with the ↵ symbol on it.

ACASI SECTION IS COMPLETED BY RESPONDENT

Back-End Demographics

INTRODM2 For the next questions, I will read the question out loud, you can tell me your answer, and I will enter it into the computer.

PRESS [ENTER] TO CONTINUE.

QD13 How many times in the past 12 months have you moved?

NUMBER OF TIMES: [RANGE: 0 - 365]

INTERVIEWER NOTE:

The respondent should include moves from one residence to another within the same city/town as well as those from one city/town to another.

QD14 Were you born in the United States?

- 1 YES
- 2 NO

QD15 [IF QD14 = 2] In what country or U.S. territory were you born?

QD16 [IF QD14 = 2] About how long have you lived in the United States?

- 1 6 MONTHS OR LESS
- 2 MORE THAN 6 MONTHS BUT LESS THAN 1 YEAR
- 3 AT LEAST 1 YEAR BUT LESS THAN 5 YEARS
- 4 AT LEAST 5 YEARS BUT LESS THAN 10 YEARS
- 5 AT LEAST 10 YEARS BUT LESS THAN 15 YEARS
- 6 15 YEARS OR MORE

INTERVIEWER NOTE:

Respondents should estimate the total amount of time they have lived in the United States even if the time was not continuous.

QD17 The next questions are about school. Are you now attending or are you currently enrolled in school? By "school," we mean an elementary school, a junior high or middle school, a high school, or a college or university. Please include home schooling as well.

- 1 YES
- 2 NO

INTERVIEWER NOTE:

If the respondent is on a holiday or summer break from school, but plans to return when the break is over, then he/she should be coded as currently enrolled in school.
Do not include vocational or technical schools.

QD17a [IF CURNTAGE=12-25 AND (QD17=2 OR DK/REF) AND QD11 = 1 - 15] Are you currently on a holiday or vacation break from school?

- 1 YES
- 2 NO

QD17b [IF QD17a = 1] Do you plan to return to school when your holiday or vacation is over?

- 1 YES
- 2 NO

QD18 [IF QD17 = 1] HAND R SHOWCARD 5. What grade or year of school are you **now** attending? Please tell me the number from the card.

[IF QD17b = 1] HAND R SHOWCARD 5. What grade or year of school will you be attending when your vacation is over? Please tell me the number from the card.

INTERVIEWER NOTE:

If the respondent is on a holiday or summer break, select the category for the year or grade he/she will enter when he/she returns to school.

If home schooled or other alternative, ask for grade equivalent.

QD18a [IF QD18 = 1-12] Is your school public, private, charter, or are you home schooled?

- 1 PUBLIC SCHOOL
- 2 PRIVATE SCHOOL
- 3 CHARTER SCHOOL
- 4 HOME SCHOOLED

QD18b [IF QD18a = 2] Is your private school run by a religious organization? For example, is it Catholic, Protestant, Jewish, Islamic or any other type of religious school?

- 1 YES
- 2 NO

QD18c [IF QD17 = 1 AND QD18a = 1, 2 OR 3] HAND R SHOWCARD 6. What is the **lowest** grade or year at the school you go to? The lowest grade is the one attended by the youngest students at your school. Please tell me the number from the card.

[IF QD17b = 1 AND QD18a = 1, 2 OR 3] HAND R SHOWCARD 6. What is the **lowest** grade or year at the school you will be attending when your vacation is over? The lowest grade is the one attended by the youngest students at your school. Please tell me the number from the card.

QD18d [IF QD17 = 1 AND QD18a = 1, 2 OR 3] Please look at this showcard again. What is the **highest** grade or year at the school you go to? Please tell me the number from the card.

[IF QD17b = 1 AND QD18a = 1, 2 OR 3] Please look at this showcard again. What is the **highest** grade or year at the school you will be attending when your vacation is over? Please tell me the number from the card.

QD19 [IF QD17 = 1] Are you a full-time student or a part-time student?

[IF QD17b = 1] Will you be a full-time student or a part-time student?

- 1 FULL-TIME
- 2 PART-TIME

QD20 [IF QD19 = 1] During the past 30 days, that is, from [DATEFILL] up to and including today, how many **whole** days of school did you miss because you were sick or injured?

IF SCHOOL WAS NOT IN SESSION DURING THE PAST 30 DAYS, ENTER 90.

NUMBER OF DAYS: [RANGE: 0-30, 90]

INTERVIEWER NOTE:

Days missed because the respondent stayed home with a sick child or other family member should not be included.

QD21 [IF QD19 = 1 AND QD20 NE 90] During the past 30 days, that is, since [DATEFILL], how many **whole** days of school did you miss because you skipped or "cut" or just didn't want to be there?

NUMBER OF DAYS: [RANGE: 0 - 30]

INTERVIEWER NOTE:

Days missed because the respondent stayed home with a sick child or other family member should not be included.

QD22 [IF (QD11 = 1 - 12 OR DK/REF) AND CURNTAGE = 12 - 25 AND (QD17a = 2 OR DK/REF OR QD17b = 2)] Have you received a high school diploma?

1 YES
2 NO

QD23 [IF QD22 = 2 OR DK/REF] Have you received a GED certificate of high school completion?

1 YES
2 NO

QD24 [IF QD23 = 1 OR 2 OR DK/REF] HAND R SHOWCARD 7. Please look at this card and tell me which one of these reasons **best** describes why you left school before receiving a high school diploma. Just give me the number.

QD24SP [IF QD24 = 16] What is the main reason you left school before receiving a high school diploma?

QD25 [IF QD24 = 1 - 16 OR DK/REF] How old were you when you stopped attending school?

AGE WHEN STOPPED ATTENDING SCHOOL: [RANGE: 0-110]

QD26 [IF CURNTAGE = 15 OR OLDER] The next questions are about working. Did you work at a job or business at any time **last week**? By last week, I mean the week beginning on Sunday, [STARTDATE] and ending on Saturday, [ENDDATE].

1 YES
2 NO

INTERVIEWER NOTE:

If the respondent asks about unpaid work, tell him/her to include unpaid work in a family farm or business if he/she worked more than 15 hours last week.

A student who is given a stipend is **not** considered to be working.

Someone doing volunteer work is **not** considered to be working.

A person who provides personal labor in exchange for work done for them, rather than for pay, is considered to be working.

QD27 [IF QD26 = 2] Even though you did not work at any time last week, did you **have** a job or business?

1 YES
2 NO

QD28 [IF QD26 = 1] How many hours did you work **last week** at all jobs or businesses?

OF HOURS WORKED: [RANGE: 1 - 120]

QD29 [IF (QD28 = 1 - 120 OR DK/REF) OR QD27 = 1] Do you **usually** work 35 hours or more per week at **all** jobs or businesses?

1 YES
2 NO

INOC01 [IF QD26 = 1 OR QD27 = 1] In what kind of business or industry do you work? That is, what product is made or what service is offered?

[ALLOW 50 CHARACTERS]

INTERVIEWER NOTE:

If the respondent has more than 1 job, he/she should tell you about only one of the jobs. In these situations, the choice of which job to report is left to the respondent.

In order to accurately code a respondent's occupation, our coders need complete information. Examples include: Hospital, newspaper publishing, mail order house, auto engine manufacturing, breakfast cereal manufacturing. Please probe thoroughly!

INOC02 [IF QD26 = 1 OR QD27 = 1 AND INOC01 NE DK/REF] HAND R SHOWCARD 8. Which of these categories best describes the business or industry in which you work?

- 1 MANUFACTURING
- 2 WHOLESALE TRADE
- 3 RETAIL TRADE
- 4 AGRICULTURE
- 5 CONSTRUCTION
- 6 SERVICE
- 7 GOVERNMENT
- 8 OTHER

INOC02M [IF INOC02 = 1] What do they make?

[ALLOW 15 CHARACTERS]

INOC02T [IF INOC02 = 2 OR 3] What do they sell?

[ALLOW 15 CHARACTERS]

INOC03 [IF INOC02 = 8] Please describe the business or industry in which you work.

[ALLOW 15 CHARACTERS]

INOC04 [IF QD26 = 1 OR QD27 = 1 AND INOC01 NE DK/REF] What kind of work do you do? That is, what is your occupation?

[ALLOW 50 CHARACTERS]

INTERVIEWER NOTE:

If the respondent has more than one job, he/she should tell you about only one of the jobs. In these situations, the choice of which job to report is left to the respondent.

In order to accurately code a respondent's occupation, our coders need complete information. Examples include: Registered nurse, personnel manager, supervisor of order department, gasoline engine assembler, grinder operator. Please probe thoroughly!

INOC05 [IF QD26 = 1 OR QD27 = 1 AND INOC01 NE DK/REF] What are your most important activities or duties in that job?

[ALLOW 50 CHARACTERS]

INTERVIEWER NOTE:

If the respondent has more than one job, he/she should tell you about only one of the jobs. In these situations, the choice of which job to report is left to the respondent.

In order to accurately code a respondent's occupation, our coders need complete information. Examples include: patient care, directing hiring practices, supervising order clerks, assembling engines, operating grinding mill. Please probe thoroughly!

INOC06 [IF QD26 = 1 OR QD27 = 1 AND INOC01 NE DK/REF] HAND R SHOWCARD 9. Which of these categories best describes the business in which you work?

- 1 PRIVATE **FOR-PROFIT** COMPANY OR BUSINESS
- 2 PRIVATE **NOT-FOR-PROFIT** COMPANY OR BUSINESS
- 3 **LOCAL** GOVERNMENT (CITY, COUNTY, ETC.)
- 4 **STATE** GOVERNMENT
- 5 **FEDERAL** GOVERNMENT
- 6 **INTERNATIONAL OR FOREIGN** GOVERNMENT
- 7 SELF-EMPLOYED IN AN **INCORPORATED** BUSINESS
- 8 SELF-EMPLOYED IN AN **UNINCORPORATED** BUSINESS
- 9 WORKING **WITHOUT PAY** IN A FAMILY BUSINESS OR FARM

QD30 [IF QD27 = 1] HAND R SHOWCARD 10. Please look at this card and tell me which one of these reasons **best** describes why you did not work last week. Just give me the number.

- 1 ON VACATION/SICK/FURLOUGH/STRIKE/OTHER TEMPORARY ABSENCE
- 2 ON LAYOFF AND **NOT** LOOKING FOR WORK
- 3 ON LAYOFF AND LOOKING FOR WORK
- 4 WAITING TO REPORT TO A NEW JOB
- 5 SELF-EMPLOYED AND DID NOT HAVE ANY BUSINESS LAST WEEK
- 6 GOING TO SCHOOL/TRAINING
- 7 SOME OTHER REASON

QD31 [IF QD27 = 2 OR DK/REF] HAND R SHOWCARD 11. Please look at this card and tell me which one of these reasons **best** describes why you did not have a job or business last week. Just give me the number.

- 1 LOOKING FOR WORK
- 2 ON LAYOFF AND **NOT** LOOKING FOR WORK
- 3 KEEPING HOUSE OR CARING FOR CHILDREN FULL TIME
- 4 GOING TO SCHOOL/TRAINING
- 5 RETIRED
- 6 DISABLED FOR WORK
- 7 DIDN'T WANT A JOB
- 8 SOME OTHER REASON

QD32 [IF QD31 = 1] During the past 30 days, did you make **specific efforts** to find work? Include any contacts you made with anyone about a job, sending out resumes or applications, placing or answering ads. Do not include only reading job ads.

- 1 YES
- 2 NO

QD33 [IF QD26 = DK/REF OR QD27 = 2 OR DK/REF] Now, think about the past 12 months, from [DATEFILL] through today. Did you work at a job or business at any time during the past 12 months?

- 1 YES
- 2 NO

QD34 [IF QD30 = 5 OR INOC06 = 7-8, SKIP TO QD35.]

[IF QD26 = 1 OR QD33 = 1 OR (QD27 = 1 AND QD30 NE 5). Have you been self-employed at any time during the past 12 months?

- 1 YES
- 2 NO

QD35 [IF QD34 = 1 OR QD30 = 5 OR INOC06 = 7-8] How many different employers, including yourself, have you had in the past 12 months?

OF EMPLOYERS IN PAST 12 MONTHS: [RANGE: 1 - 52]

QD36 [IF QD34 = 2 OR DK/REF OR (QD34 = BLANK AND QD35 = BLANK AND (INOC06 = 7-8 OR QD30 = 5))] How many different employers have you had in the past 12 months?

OF EMPLOYERS IN PAST 12 MONTHS: [RANGE: 1 - 52]

QD37 [IF QD26 = 1 OR QD27 = 1] During the past 12 months, was there ever a time when you did **not** have at least one job or business?

- 1 YES
- 2 NO

QD38 [IF QD37 = 1] In how many weeks during the past 12 months did you **not** have at least one job or business?

OF WEEKS WITHOUT A JOB OR BUSINESS: [RANGE: 1 - 52]

INTERVIEWER NOTE:

If the respondent did not have at least one job or business for less than one week, enter "1".

QD39a [IF QD27 = 2 OR DK/REF] In what year did you last work at a job or business?

ENTER THE FOUR-DIGIT YEAR IN THE FOLLOWING FORMAT: YYYY.

IF THE RESPONDENT NEVER WORKED FOR PAY, ENTER 9991.

_____ YEAR LAST WORKED

QD39b [IF QD39a NE 9991 OR DK/REF OR BLANK] In what month in [YEAR FROM QD39a] did you last work at a job or business?

INOC07 [IF QD33 = 1 AND (QD39b AND QD39a NE DK/REF)] When you last worked in [QD39b, QD39a FILL], in what kind of business or industry did you work? That is, what product was made or what service was offered?

[IF QD33 = 1 AND (QD39b OR QD39a = DK/REF)] When you last worked, in what kind of business or industry did you work? That is, what product was made or what service was offered?

[ALLOW 50 CHARACTERS]

INTERVIEWER NOTE:

If the respondent had more than 1 job, he/she should tell you about only one of the jobs. In these situations, the choice of which job to report is left to the respondent.

In order to accurately code a respondent's occupation, our coders need complete information. Examples include: Hospital, newspaper publishing, mail order house, auto engine manufacturing, breakfast cereal manufacturing. Please probe thoroughly!

INOC08 [IF QD33 =1 AND INOC07 NE DK/REF] HAND R SHOWCARD 8. Which of these categories best describes the business or industry in which you worked?

- 1 MANUFACTURING
- 2 WHOLESALE TRADE
- 3 RETAIL TRADE
- 4 AGRICULTURE
- 5 CONSTRUCTION
- 6 SERVICE
- 7 GOVERNMENT
- 8 OTHER

INOC08M [IF INOC08 = 1] What did they make?

[ALLOW 15 CHARACTERS]

INOC08T [IF INOC08 = 2 OR 3] What did they sell?

[ALLOW 15 CHARACTERS]

INOC09 [IF INOC08 = 8] Please describe the business or industry in which you worked.

[ALLOW 15 CHARACTERS]

INOC10 [IF QD33 =1 AND INOC07 NE DK/REF] What kind of work did you do? That is, what was your occupation?

[ALLOW 50 CHARACTERS]

INTERVIEWER NOTE:

If the respondent had more than one job, he/she should tell you about only one of the jobs. In these situations, the choice of which job to report is left to the respondent.

In order to accurately code a respondent's occupation, our coders need complete information. Examples include: Registered nurse, personnel manager, supervisor of order department, gasoline engine assembler, grinder operator. Please probe thoroughly!

INOC11 [IF QD33 = 1 AND INOC07 NE DK/REF] What were your most important activities or duties in that job?

[ALLOW 50 CHARACTERS]

INTERVIEWER NOTE:

If the respondent had more than one job, he/she should tell you about only one of the jobs. In these situations, the choice of which job to report is left to the respondent.

In order to accurately code a respondent's occupation, our coders need complete information. Examples include: patient care, directing hiring practices,

supervising order clerks, assembling engines, operating grinding mill. Please probe thoroughly!

INOC12 [IF QD33 = 1 AND INOC07 NE DK/REF] HAND R SHOWCARD 9. Which of these categories best describes the business in which you worked?

- 1 PRIVATE **FOR-PROFIT** COMPANY OR BUSINESS
- 2 PRIVATE **NOT-FOR-PROFIT** COMPANY OR BUSINESS
- 3 **LOCAL** GOVERNMENT (CITY, COUNTY, ETC.)
- 4 **STATE** GOVERNMENT
- 5 **FEDERAL** GOVERNMENT
- 6 **INTERNATIONAL OR FOREIGN** GOVERNMENT
- 7 SELF-EMPLOYED IN AN **INCORPORATED** BUSINESS
- 8 SELF-EMPLOYED IN AN **UNINCORPORATED** BUSINESS
- 9 WORKING **WITHOUT PAY** IN A FAMILY BUSINESS OR FARM

QD40 [IF QD26 = 1 OR QD27 = 1] During the past 30 days, that is, from [DATEFILL] up to and including today, how many **whole** days of work did you miss because you were sick or injured?

OF DAYS: [RANGE: 0 - 30]

INTERVIEWER NOTE:

Days missed because the respondent stayed home with a sick child or other family member should not be included.

QD41 [IF QD26 = 1 OR QD27 = 1] During the past 30 days, that is, from [DATEFILL] up to and including today, how many **whole** days of work did you miss because you just didn't want to be there?

OF DAYS: [RANGE: 0 - 30]

INTERVIEWER NOTE:

Days missed because the respondent stayed home with a sick child or other family member should not be included.

QD42 [IF QD26 = 1 OR QD27 = 1] HAND R SHOWCARD 12. Thinking about the location where **you** work, how many people work for your employer out of this office, store, etc.?

- 1 LESS THAN 10 PEOPLE
- 2 10-24 PEOPLE
- 3 25-99 PEOPLE
- 4 100-499 PEOPLE
- 5 500 PEOPLE OR MORE

QD43 [IF QD42 = 1 - 5 OR DK/REF] At your workplace, is there a written policy about employee use of alcohol or drugs?

- 1 YES
- 2 NO

QD44 [IF QD43 = 1] Does this policy cover only alcohol, only drugs, or both alcohol and drugs?

- 1 ONLY ALCOHOL
- 2 ONLY DRUGS
- 3 BOTH ALCOHOL AND DRUGS

QD45 [IF QD44 = (1 - 3 OR DK/REF) OR QD43 = (2 OR DK/REF)] At your workplace, have you ever been given any educational information regarding the use of alcohol or drugs?

- 1 YES
- 2 NO
- 3 DON'T REMEMBER

QD46 [IF QD45 = 1 - 3 OR DK/REF] Through your workplace, is there access to any type of employee assistance program or other type of counseling program for employees who have alcohol or drug-related problems?

- 1 YES
- 2 NO

QD47 [IF QD46 = 1 - 2 OR DK/REF] Does your workplace ever test its employees for alcohol use?

- 1 YES
- 2 NO

QD48 [IF QD47 = 1 - 2 OR DK/REF] Does your workplace ever test its employees for drug use?

- 1 YES
- 2 NO

QD49 [IF Q47 = 1 OR Q48 = 1] Does your workplace test its employees for drug or alcohol use as part of the hiring process?

- 1 YES
- 2 NO

INTERVIEWER NOTE:

Testing as part of the hiring process refers to a test that must be conducted, and show no presence of drugs in order for an applicant to be hired.

QD50 [IF Q49 = 1 OR 2 OR DK/REF] Does your workplace test its employees for drug or alcohol use on a random basis?

- 1 YES
- 2 NO

INTERVIEWER NOTE:

Testing on a random basis refers to a test conducted at unscheduled times with a random group of a company's employees.

QD51 [IF Q47 = 1 OR Q48 = 1] According to the policy at your workplace, what happens to an employee the **first** time he or she tests positive for illicit drugs?

QD52 [IF QD42 = 1 - 5 OR DK/REF] Would you be more or less likely to want to work for an employer that tests its employees for drug use as part of the hiring process? Would you say more likely, less likely, or would it make no difference to you?

- 1 MORE LIKELY
- 2 LESS LIKELY
- 3 WOULD MAKE NO DIFFERENCE

QD53 [IF QD52 = 1 - 3 OR DK/REF] Would you be more or less likely to want to work for an employer that tests its employees for drug or alcohol use on a random basis? Would you say more likely, less likely, or would it make no difference to you?

QD54 Altogether, how many people live here now, **including yourself**? Please include anyone who (has lived/will live) here for most of (**January, February, and March / April, May, and June / July, August, and September / October, November, and December**).

IN HOUSEHOLD:

[RANGE: 1 - 25]

INTERVIEWER NOTE:

If you are interviewing in a transient shelter, enter "1".

If you are interviewing in a group quarters unit that was listed by room, enter the number of people living in the room.

IF QD54 = 1 OR DK/REF SKIP TO FIRST QUESTION FOLLOWING HH ROSTER, OTHERWISE CONTINUE.

PERAGEYR [IF QD54 = 2 - 25] Now I need some additional information about each person who lives here. Let's start with the oldest. How old was he or she on his or her **last** birthday? (WORDING FOR ADDITIONAL CYCLES: How old was the next oldest person on his or her last birthday?)

INTERVIEWER: FOR CHILDREN LESS THAN 24 MONTHS (2 YEARS), ENTER '1.' YOU WILL BE PROMPTED FOR THE AGE IN MONTHS ON THE NEXT SCREEN.

AGE IN WHOLE YEARS: [RANGE: 1 - 110]

CHAGEMON [IF PERAGEYR = 1] ENTER THE AGE IN **WHOLE MONTHS** FOR THIS HOUSEHOLD MEMBER:

AGE IN MONTHS: [RANGE: 1 - 23]

CHMONSEX [IF CHAGEMON = 1 - 23] Is the [**CHAGEMON FILL**]-month old child a male or a female?

5 MALE
9 FEMALE

CHYRSEX [IF CHAGEMON = DK/REF] Is this child a male or female?

5 MALE
9 FEMALE

PERYRSEX [IF PERAGEYR = 2 - 110] Is the [**PERAGEYR FILL**]-year old person male or female?

5 MALE
9 FEMALE

PERSEX [IF PERAGEYR = DK/REF] Is this person a male or a female?

5 MALE
9 FEMALE

MRELATON [IF CHMONSEX OR CHYRSEX OR PERYRSEX OR PERSEX = 5] HAND R SHOWCARD 13. Please look at this card and tell me which category best describes his relationship to you.

INTERVIEWER NOTE:

If it is clear to you that the respondent is talking about/rostering themselves, you may say "Is that you?". If the answer is Yes, enter "1" for "SELF".

1 SELF
2 FATHER
3 SON
4 BROTHER
5 HUSBAND
6 UNMARRIED PARTNER (LIVING TOGETHER AS THOUGH MARRIED)
7 HOUSEMATE OR ROOMMATE

- 8 SON-IN-LAW
- 9 GRANDSON
- 10 FATHER-IN-LAW
- 11 GRANDFATHER
- 12 BOARDER OR ROOMER
- 13 OTHER RELATIVE
- 14 OTHER NON-RELATIVE

FTHRTYPE [IF MRELATON = 2] Is he your biological, step-, adoptive, or foster father?

SONTYPE [IF MRELATON = 3] Is he your biological, step-, adoptive, or foster son?

BTHRTYPE [IF MRELATON = 4] Is he your full, half, step-, adoptive, or foster brother?

BTWNTYPE [IF AGE1 = AGE OF THIS HOUSEHOLD MEMBER AND BTHRTYPE = 1] Is he your identical twin, fraternal twin, or neither?

FRELATON [IF CHMONSEX OR CHYRSEX OR PERYRSEX OR PERSEX = 9] HAND R SHOWCARD 14. Please look at this card and tell me which category best describes her relationship to you.

INTERVIEWER NOTE:

If it is clear to you that the respondent is talking about/rostering themselves, you may say "Is that you?". If the answer is Yes, enter "1" for "SELF".

- 1 SELF
- 2 MOTHER
- 3 DAUGHTER
- 4 SISTER
- 5 WIFE
- 6 UNMARRIED PARTNER (LIVING TOGETHER AS THOUGH MARRIED)
- 7 HOUSEMATE OR ROOMMATE
- 8 DAUGHTER-IN-LAW
- 9 GRANDDAUGHTER
- 10 MOTHER-IN-LAW
- 11 GRANDMOTHER
- 12 BOARDER OR ROOMER
- 13 OTHER RELATIVE
- 14 OTHER NON-RELATIVE

MTHRTYPE [IF FRELATON = 2] Is she your biological, step-, adoptive, or foster mother?

DAUTYPE [IF FRELATON = 3] Is she your biological, step-, adoptive, or foster daughter?

SISTYPE [IF FRELATON = 4] Is she your full, half, step-, adoptive, or foster sister?

FTWNTYPE [IF AGE1 = AGE OF THIS HOUSEHOLD MEMBER AND SISTYPE = 1] Is she your identical twin, fraternal twin, or neither?

PROXYINT PROXY INFORMATION
The next questions are about your health insurance coverage and the kinds and amounts of income that you receive.

(This information will help in planning health care services and finding ways to lower costs of care.)

PRESS 1 TO CONTINUE.

FAMILY MEMBERS:
PERAGEYR year old MRELATON/FRELATON

(Continue until all HH members have either been listed or excluded)

QP01 [IF QD54 > 1 AND RESPONDENT IS ONLY FAMILY MEMBER 18 OR OLDER AND ALL PERAGEYR NE DK/REF, SKIP TO QHI01]

[IF GRID HAS MORE THAN 1 ADULT PERSON LISTED AND ALL PERAGEYR NE DK/REF] {SHOW GRID ON SCREEN. SHOW ONLY ADULT FAMILY MEMBERS (CURNTAGE > 17) IN THIS GRID} I have listed as adult family members who live here: your READ RELATIONSHIPS SHOWN BELOW. Do you think one of these people would be better able to give me the correct information about your health insurance coverage and the kinds of income you receive?

[IF GRID HAS ONLY 1 ADULT PERSON LISTED] {SHOW GRID ON SCREEN. SHOW ONLY ADULT FAMILY MEMBERS (CURNTAGE > 17) IN THIS GRID} Do you think your READ RELATIONSHIP SHOWN BELOW would be better able to give me the correct information about your health insurance coverage and the kinds of income you receive?

[IF GRID HAS NO ONE OTHER THAN THE RESPONDENT LISTED AS 18 OR OLDER, BUT THERE IS AT LEAST 1 DK OR REF ENTERED FOR ANY PERAGEYR OR THERE IS MORE THAN 1 ADULT LISTED AND AT LEAST 1 DK/REF ENTERED FOR ANY PERAGEYR.] Is there anyone else who lives here who is 18 or older who would be better able to give me the correct information about your health insurance coverage and the kinds of income you receive?

1 YES
2 NO [ACTIVATE PROXYFILL AS "YOU/YOUR" FOR REMAINING QUESTIONS]

QP02 [IF QP01=1 AND MORE THAN 1 OTHER PERSON IN GRID] Who is the person you think can help us get the correct information for these questions? ENTER RELATIONSHIP OF PERSON WHO CAN BETTER ANSWER THESE QUESTIONS.

QP03 [IF QP02 NE DK/REF OR BLANK] Is your [QP02 FILL] here at home now?

1 YES
2 NO [ACTIVATE PROXYFILL AS "YOU/YOUR" FOR REMAINING QUESTIONS]

QP04 [IF QP03=1] Would you ask your [QP02 FILL] to join us to help with these last questions about health insurance and income?

1 YES
2 NO [ACTIVATE PROXYFILL AS "YOU/YOUR" FOR REMAINING QUESTIONS]

HASJOIN [IF QP04 = 1] HAS THE PERSON'S [QP02 FILL] JOINED R?

1 YES [ACTIVATE PROXYFILL AS "SAMPLE MEMBER/SAMPLE MEMBER'S" FOR REMAINING QUESTIONS]
2 NO [ACTIVATE PROXYFILL AS "YOU/YOUR" FOR REMAINING QUESTIONS]

TOPROXY [IF HASJOIN = 1] WHEN [QP02 FILL] HAS JOINED YOU. The next questions are about **SAMPLE MEMBER'S** health insurance coverage and the kinds and amounts of income that **SAMPLE MEMBER** and other people in your family receive.

(This information will help in planning health care services and finding ways to lower costs of care.)

PRESS [ENTER] TO CONTINUE.

QHI01 [IF QP03 = 2 OR DK/REF OR QP04 = 2 OR DK/REF OR HASJOIN = 2 OR DK/REF ADD THIS TEXT PRIOR TO THE QUESTION: Since your [QP02 FILL] is not available, I'd like you to answer these next questions the best you can.] Several government programs provide medical care or help pay medical bills.

Medicare is a health insurance program **for persons aged 65 and older** and for certain disabled persons. (Are you/Is **SAMPLE MEMBER**) covered by Medicare?

- 1 YES
- 2 NO

QHI01v [IF QHI01 = 1 AND CURNTAGE < 65] You have indicated that [you are/**SAMPLE MEMBER** is] covered by Medicare, which is a health insurance program **for persons aged 65 and older** and for certain disabled persons. Is this correct?

- 1 YES
- 2 NO

QHI02 Medicaid is a public assistance program that pays for medical care **for low income and disabled persons**. [IF MEDIFILL NE NONE] The Medicaid program in [STATE FILL] is also called [MEDIFILL].

(Are you/Is **SAMPLE MEMBER**) covered by Medicaid?

- 1 YES
- 2 NO

INTERVIEWER NOTE:

Medicaid refers to a medical assistance program that provides health care coverage to low income and disabled persons. Most states refer to Medicaid as Medical Assistance.

QHI02v [IF QHI02 = 1 AND CURNTAGE = 65 OR OLDER] You have indicated that [you are/**SAMPLE MEMBER** is] covered by Medicaid, which is a public assistance program that pays for medical care for **low income and disabled persons**. Is this correct?

- 1 YES
- 2 NO

QHI02A [IF CURNTAGE = 12-19] (Are you/Is **SAMPLE MEMBER**) currently covered by [CHIPFILL]?

- 1 Yes
- 2 No

INTERVIEWER NOTE:

These programs cover children from low-income families who do not have private health insurance and who do not qualify for Medicaid.

QHI03 (Are you/Is **SAMPLE MEMBER**) currently covered by TRICARE, or CHAMPUS, CHAMPVA, the VA, or military health care?

These programs cover active duty and retired career military personnel and their dependents and survivors and also Disabled veterans and their dependents and survivors.

- 1 YES
- 2 NO

INTERVIEWER NOTE:

CHAMPUS stands for Comprehensive Health and Medical Plan for the Uniformed Services. It provides health care in private facilities for dependents of military personnel on active duty or retired for reasons other than disability. In some areas, this may be known as TRICARE.

CHAMPVA stands for Comprehensive Health and Medical Plan of the Veterans Administration. It provides health care for the spouse, dependents, or survivors of a

veteran who has a total, permanent service-connected disability.

Military health care refers to health care available to active duty personnel and their dependents; in addition, the VA provides medical assistance to veterans of the Armed Forces, particularly those with service-connected ailments.

QHI06 Private health insurance can be obtained through work, such as through an employer, union, or professional association, or by paying premiums directly to a health insurance company.

(Are you/Is **SAMPLE MEMBER**) currently covered by private health insurance?

- 1 YES
- 2 NO

INTERVIEWER NOTE:

Private health insurance refers to any type of health insurance other than Medicare, Medicaid and coverage provided to military personnel and their dependents. It includes coverage by a health maintenance organization (HMO), fee for service plans, and single service plans.

QHI07 [IF QHI06 = 1] (Was your/**SAMPLE MEMBER'S**) private health insurance obtained through work, such as through an employer, union, or professional association?

- 1 YES
- 2 NO

INTERVIEWER NOTE:

This health insurance could be obtained through any family member's employment, not just the respondent's employment.

QHI08 [IF QHI06 = 1] Does (your/**SAMPLE MEMBER'S**) private health insurance include coverage for treatment for any of the following conditions?

Alcohol abuse or alcoholism?

- 1 YES
- 2 NO

QHI09 [IF QHI06 = 1] Drug abuse?

- 1 YES
- 2 NO

QHI10 [IF QHI06 = 1] Mental or emotional problems?

- 1 YES
- 2 NO

QHI11 [IF (QHI01 = 2 OR QHI01v = 2) AND (QHI02 = 2 OR QHI02v = 2) AND QHI03 = 2 AND QHI06 = 2 AND (IF CURNTAGE = 12 - 19: QHI02a = 2)] (Are you/Is **SAMPLE MEMBER**) currently covered by any kind of health insurance, that is, any policy or program that provides or pays for medical care?

- 1 YES
- 2 NO

QHI13 [IF (QHI01 = 1 AND QHI01v NE 2) OR (QHI02 = 1 AND QHI02v NE 2) OR QHI02a = 1 OR QHI03=1 OR QHI06 = 1 OR QHI11 = 1] During the past 12 months, was there any time when (you/**SAMPLE MEMBER**) did **not** have

any kind of health insurance or coverage?

- 1 YES
- 2 NO

QHI14 [IF QHI13 = 1] During the past 12 months, about how many months were (you/**SAMPLE MEMBER**) without any kind of health insurance or coverage?

OF MONTHS: [RANGE: 1 - 12]

INTERVIEWER NOTE:

If the respondent reports less than one month, enter "1".

QHI15 [IF (QHI01 = 2 OR QHI01v = 2) AND (QHI02 = 2 OR QHI02v = 2) AND QHI03 = 2 AND QHI06 = 2 AND QHI11 = 2 AND (IF CURNTAGE = 12 - 19: QHI02a = 2)] About how long has it been since (you/**SAMPLE MEMBER**) last had any kind of health care coverage?

- 1 WITHIN THE PAST 6 MONTHS
- 2 MORE THAN 6 MONTHS AGO, BUT WITHIN THE PAST YEAR
- 3 MORE THAN 1 YEAR AGO, BUT WITHIN THE PAST 3 YEARS
- 4 MORE THAN 3 YEARS AGO
- 5 NEVER HAD COVERAGE

QHI17 [IF QHI15 = 1 - 4 OR DK/REF] HAND R SHOWCARD 15. Which of the reasons on this card is the **main** reason why (you/**SAMPLE MEMBER**) stopped being covered by health insurance?

QHI18 [IF QHI15 = 5] HAND R SHOWCARD 16 . Which of the reasons on this card describe why (you/**SAMPLE MEMBER**) never had health insurance coverage?

TO SELECT MORE THAN ONE CATEGORY, PRESS THE SPACE BAR BETWEEN EACH CATEGORY YOU SELECT.

INTROINC [IF QD54 = 1] These next questions are about the kinds and amounts of income that you receive.

These questions refer to the calendar year [CURRENT YEAR - 1] rather than to the past 12 months that were referred to in some earlier questions. The calendar year [CURRENT YEAR - 1] would be from January 1st, [CURRENT YEAR - 1], through December 31st, [CURRENT YEAR - 1]

[IF FAMLY = GRID] These next questions are about the kinds and amounts of income that (**you/SAMPLE MEMBER**) and (**your/SAMPLE MEMBER'S**) READ RELATIONSHIP(S) SHOWN BELOW receive.

These questions refer to the calendar year [CURRENT YEAR - 1] rather than to the past 12 months that were referred to in some earlier questions. The calendar year [CURRENT YEAR - 1] would be from January 1st, [CURRENT YEAR - 1], through December 31st, [CURRENT YEAR - 1]

PRESS [ENTER] TO CONTINUE

FAMILY MEMBERS:
(shown here)

QI01 In [CURRENT YEAR - 1], did (**you/SAMPLE MEMBER**) receive Social Security or Railroad Retirement payments? (Social Security checks are either automatically deposited in the bank or mailed to arrive on about the 3rd of every month. If mailed, they are sent in a gold envelope.)

- 1 YES
- 2 NO

INTERVIEWER NOTE:

Social Security or Railroad Retirement payments are paid by the U.S. Government to persons who are retired, severely disabled, or are dependents or survivors of workers.

QI02 [IF QI01 NE 1 AND FAMILY=GRID SHOW GRID ON SCREEN.] The next question is about the members of (your/**SAMPLE MEMBER'S**) family who live here — that is, (your/**SAMPLE MEMBER'S**) READ RELATIONSHIP(S) SHOWN BELOW.

[IF ONLY 1 PERSON IN GRID AND QP04=1] In [CURRENT YEAR - 1] In [CURRENT YEAR - 1], did **you** receive Social Security or Railroad Retirement payments?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] In [CURRENT YEAR - 1], did your READ RELATIONSHIP FROM GRID receive Social Security or Railroad Retirement payments?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], did any of **these** family members receive Social Security or Railroad Retirement payments?

- 1 YES
- 2 NO

INTERVIEWER NOTE:

Social Security or Railroad Retirement payments are paid by the U.S. Government to persons who are retired, severely disabled, or are dependents or survivors of workers.

QI03 In [CURRENT YEAR - 1], did (you/**SAMPLE MEMBER**) receive Supplemental Security Income or SSI?

(Federal SSI checks are either automatically deposited in the bank or mailed to arrive on the first of every month. If mailed, they are sent in a blue envelope.)

- 1 YES
- 2 NO

INTERVIEWER NOTE:

Supplemental Security Income or SSI is a program administered by the Social Security Administration that makes assistance payments to low income, aged, blind, and disabled persons. Some states also have their own SSI programs. Include these also if reported.

QI04A [IF QI03 NE 1 AND FAMILY=GRID AND QI01 NE 1. SHOW GRID ON SCREEN.]

[IF ONLY 1 PERSON IN GRID AND QP04=1] In [CURRENT YEAR - 1], did **you** receive Supplemental Security Income or SSI?

[IF ONLY 1 PERSON IN GRID AND [QP01 NE 1 OR QP04 NE 1]] In [CURRENT YEAR - 1], did your (READ RELATIONSHIP SHOWN BELOW) receive Supplemental Security Income or SSI?

[IF MORE THAN ONE PERSON IN GRID] In [CURRENT YEAR - 1], did any of these same [# OF PEOPLE IN GRID] family members receive Supplemental Security Income or SSI? READ RELATIONSHIPS SHOWN BELOW AS NECESSARY.

- 1 YES
- 2 NO

INTERVIEWER NOTE:

Supplemental Security Income or SSI is a program administered by the Social Security Administration that makes assistance payments to low income, aged, blind, and disabled persons. Some states also have their own SSI programs. Include these also if reported.

QI04B [IF QI03 NE 1 FAMILY=GRID AND QI01=1. SHOW GRID ON SCREEN.]The next question is about the members of (your/**SAMPLE MEMBER'S**) family who live here — that is, (your/**SAMPLE MEMBER'S**) READ RELATIONSHIP(S) SHOWN BELOW.

[IF ONLY 1 PERSON IN GRID AND QP04=1] In [CURRENT YEAR - 1], did **you** receive Supplemental Security Income or SSI?

[IF ONLY 1 PERSON IN GRID AND [QP01 NE 1 OR QP04 NE 1]] In [CURRENT YEAR - 1], did your READ RELATIONSHIP SHOWN BELOW receive Supplemental Security Income or SSI?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], did any of **these** family members receive Supplemental Security Income or SSI?

- 1 YES
- 2 NO

INTERVIEWER NOTE:

Supplemental Security Income or SSI is a program administered by the Social Security Administration that makes assistance payments to low income, aged, blind, and disabled persons. Some states also have their own SSI programs. Include these also if reported.

QI05 In [CURRENT YEAR - 1], did (**you/SAMPLE MEMBER**) receive income from wages or pay earned while working at a job or business?

- 1 YES
- 2 NO

QI06A [IF QI05 NE 1 AND FAMLY=GRID AND (QI01 NE 1 OR QI03 NE 1). SHOW GRID ON SCREEN.]

[IF ONLY 1 PERSON IN GRID AND QP04=1] In [CURRENT YEAR - 1], did **you** receive income from wages or pay earned while working at a job or business?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] In [CURRENT YEAR - 1], did your READ RELATIONSHIP SHOWN BELOW receive income from wages or pay earned while working at a job or business?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], did any of these same [# OF PEOPLE IN GRID] family members receive income from wages or pay earned while working at a job or business? READ RELATIONSHIPS SHOWN BELOW AS NECESSARY.

- 1 YES
- 2 NO

QI06B [IF QI05 NE 1 AND FAMLY=GRID AND (QI01=1 AND QI03=1). SHOW GRID ON SCREEN. The next question is about the members of (your/**SAMPLE MEMBER'S**) family who live here — that is, (your/**SAMPLE MEMBER'S**) READ RELATIONSHIP(S) SHOWN BELOW.

[IF ONLY 1 PERSON IN GRID AND QP04=1] In [CURRENT YEAR - 1], did **you** receive income from wages or pay earned while working at a job or business?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] In [CURRENT YEAR - 1], did your READ RELATIONSHIP FROM GRID receive income from wages or pay earned while working at a job or business?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], did any of **these** family members receive income from wages or pay earned while working at a job or business?

- 1 YES
- 2 NO

QI07A [IF FAMLY=GRID] In [CURRENT YEAR - 1], did (**you/SAMPLE MEMBER**) or anyone in (your/**SAMPLE MEMBER'S**) family living here receive food stamps?

- 1 YES
- 2 NO

INTERVIEWER NOTE:

Food stamps are government-issued coupons that can be used to purchase food. Instead of coupons, some states issue a special card that can be used like a credit card to purchase food in grocery stores. The food stamp program is a joint federal-state program which is administered by State and Local governments.

QI07B [IF NO OTHER FAMILY IN HOUSEHOLD] In [CURRENT YEAR - 1], did **you** receive food stamps?

- 1 YES
- 2 NO

INTERVIEWER NOTE:

Food stamps are government-issued coupons that can be used to purchase food. Instead of coupons, some states issue a special card that can be used like a credit card to purchase food in grocery stores. The food stamp program is a joint federal-state program which is administered by State and Local governments.

QI08 At any time during [CURRENT YEAR - 1], even for one month, did (**you/SAMPLE MEMBER**) receive any cash assistance from a state or county welfare program such as [TANFFILL]?

- 1 YES
- 2 NO

INTERVIEWER NOTE:

If the respondent volunteers receiving welfare payments from a program other than the one mentioned, or from another state, record a "yes" response. Do not probe for this information.

QI09A [IF QI08 NE 1 AND FAMILY=GRID AND (QI01 NE 1 OR QI03 NE 1 OR QI05 NE 1). SHOW GRID ON SCREEN.]

[IF ONLY 1 PERSON IN GRID AND QP04=1] At any time during [CURRENT YEAR - 1], even for one month, did **you** receive any cash assistance from a state or county welfare program such as [TANFFILL]?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] At any time during [CURRENT YEAR - 1], even for one month, did your READ RELATIONSHIP SHOWN BELOW receive any cash assistance from a state or county welfare program such as [TANFFILL]?

[IF MORE THAN 1 PERSON IN GRID] At any time during [CURRENT YEAR - 1], even for one month, did any of these same [# OF PEOPLE IN GRID] family members receive any cash assistance from a state or county welfare program such as [TANFFILL]? READ RELATIONSHIPS SHOWN BELOW AS NECESSARY.

- 1 YES
- 2 NO

INTERVIEWER NOTE:

If the respondent volunteers receiving welfare payments from a program other than the one mentioned, or from another state, record a "yes" response. Do not probe for this information.

QI09B [IF QI08 NE 1 AND FAMILY=GRID AND QI01=1 AND QI03=1 AND QI05 = 1. SHOW GRID ON SCREEN.]
The next question is about the members of (your/**SAMPLE MEMBER'S**) family who live here — that is, (your/**SAMPLE MEMBER'S**) READ RELATIONSHIP(S) SHOWN BELOW.

[IF ONLY 1 PERSON IN GRID AND QP04=1] At any time during [CURRENT YEAR - 1], even for one month, did **you** receive any cash assistance from a state or county welfare program such as [TANFFILL]?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] At any time during [CURRENT YEAR - 1], even for one month, did your READ RELATIONSHIP SHOWN BELOW receive any cash assistance from a state or county welfare program such as [TANFFILL]?

[IF MORE THAN 1 PERSON IN GRID] At any time during [CURRENT YEAR - 1], even for one month, did any of **these** family members receive any cash assistance from a state or county welfare program such as [TANFFILL]?

- 1 YES

2 NO

INTERVIEWER NOTE:

If the respondent volunteers receiving welfare payments from a program other than the one mentioned, or from another state, record a "yes" response. Do not probe for this information.

QI10 In [CURRENT YEAR - 1], because of low income, did (**you/SAMPLE MEMBER**) receive any **other** kind of welfare or public assistance, such as help with getting a job, placement in education or job training programs, or help with transportation, child care, or housing?

1 YES
2 NO

INTERVIEWER NOTE:

Only non-monetary types of assistance should be included for this question.

QI11A [IF QI10 NE 1 AND FAMILY=GRID AND (QI01 NE 1 OR QI03 NE 1 OR QI05 NE 1 OR QI08 NE 1). SHOW GRID ON SCREEN.]

[IF ONLY 1 PERSON IN GRID AND QP04=1] In [CURRENT YEAR - 1], because of low income, did **you** receive any other kind of welfare or public assistance, such as help with getting a job, placement in education or job training programs, or help with transportation, child care, or housing?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] In [CURRENT YEAR - 1], because of low income, did your READ RELATIONSHIP SHOWN BELOW receive any other kind of welfare or public assistance, such as help with getting a job, placement in education or job training programs, or help with transportation, child care, or housing?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], because of low income, did any of these same [# OF PEOPLE IN GRID] family members receive any other kind of welfare or public assistance, such as help with getting a job, placement in education or job training programs, or help with transportation, child care, or housing? READ RELATIONSHIPS SHOWN BELOW AS NECESSARY.

1 YES
2 NO

INTERVIEWER NOTE:

Only non-monetary types of assistance should be included for this question.

QI11B [IF QI10 NE 1 AND FAMILY=GRID AND QI01=1 AND QI03=1 AND QI05=1 AND QI08 = 1. SHOW GRID ON SCREEN.]The next question is about the members of your family who live here — that is, (**your/SAMPLE MEMBER'S**) READ RELATIONSHIP(S) SHOWN BELOW.

[IF ONLY 1 PERSON IN GRID AND QP04=1] In [CURRENT YEAR - 1], because of low income, did **you** receive any other kind of welfare or public assistance, such as help with getting a job, placement in education or job training programs, or help with transportation, child care, or housing?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] In [CURRENT YEAR - 1], because of low income, did your READ RELATIONSHIP SHOWN BELOW receive any other kind of welfare or public assistance, such as help with getting a job, placement in education or job training programs, or help with transportation, child care, or housing?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], because of low income, did any of **these** family members receive any other kind of welfare or public assistance, such as help with getting a job, placement in education or job training programs, or help with transportation, child care, or housing?

1 YES
2 NO

INTERVIEWER NOTE:

Only non-monetary types of assistance should be included for this question.

QI12A [IF QI08=1 OR QI09A=1 OR QI09B=1 OR QI10=1 OR QI11a =1 OR QI11b = 1 AND (QI07a=2 OR QI07b=2)] For how many months in [CURRENT YEAR - 1] did (you/SAMPLE MEMBER) or any other family member living here receive any type of welfare or public assistance?

OF MONTHS RECEIVED ASSISTANCE: [RANGE: 1 - 12]

QI12B [IF QI08=1 OR QI09A=1 OR QI09B=1 OR QI10=1 OR QI11a =1 OR QI11b = 1 AND (QI07A = 1, DK/REF OR QI07B=1,DK/REF)]. For how many months in [CURRENT YEAR - 1] did (you/SAMPLE MEMBER) or any other family member living here receive any type of welfare or public assistance, not including food stamps?

OF MONTHS RECEIVED ASSISTANCE: [RANGE: 1 - 12]

QI13 In [CURRENT YEAR - 1], did (you/SAMPLE MEMBER) have money in any kind of savings or other bank account that earned interest or did (you/SAMPLE MEMBER) receive dividend income from stocks or mutual funds or income from rental property, royalties, estates, or trusts?

(Include money market funds, treasury notes, IRAs or certificates of deposit, interest earning checking accounts, bonds, or any other investments that earn interest.)

- 1 YES
- 2 NO

INTERVIEWER NOTE:

Dividends: Some people make investments by purchasing shares of stock in corporations. The corporation then distributes some of the profits to shareholders in the form of dividends.

Mutual funds consist of investors who pool their money to purchase shares of stock.

Rental Income: Income received from the rental of land, buildings, real estate, or from boarders after rental expenses are deducted.

Royalties: The total cash from royalties less expenses. This income could come from mineral rights, patents, copyrights, or trademarks.

Estates or Trusts: Include periodic payments from an estate or trust. Exclude lump-sum, one-time payments from these sources.

QI14A [IF QI13 NE 1 AND FAMLY=GRID AND (QI01 NE 1 OR QI03 NE 1 OR QI05 NE 1 OR QI08 NE 1 OR QI10 NE 1). SHOW GRID ON SCREEN.]

[IF ONLY 1 PERSON IN GRID AND QP04=1] In [CURRENT YEAR - 1], did you have money in any kind of savings or other bank account that earned interest or did you receive dividend income from stocks or mutual fund or income from rental property, royalties, estates, or trusts?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] In [CURRENT YEAR - 1], did your READ RELATIONSHIP SHOWN BELOW have money in any kind of savings or other bank account that earned interest or did he/she receive dividend income from stocks or mutual fund or income from rental property, royalties, estates, or trusts?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], did any of these same [# OF PEOPLE IN GRID] family members have money in any kind of savings or other bank account that earned interest or did he/she receive dividend income from stocks or mutual fund or income from rental property, royalties, estates, or trusts? READ RELATIONSHIPS SHOWN BELOW AS NECESSARY.

- 1 YES
- 2 NO

INTERVIEWER NOTE:

Dividends: Some people make investments by purchasing shares of stock in corporations. The corporation then distributes some of the profits to shareholders in the form of dividends.

Mutual funds consist of investors who pool their money to purchase shares of stock..

Rental Income: Income received from the rental of land, buildings, real estate, or from boarders after rental expenses are deducted.

Royalties: The total cash from royalties less expenses. This income could come from mineral rights, patents, copyrights, or trademarks.

Estates or Trusts: Include periodic payments from an estate or trust. Exclude lump-sum, one-time payments from these sources.

QI14B [IF QI13 NE 1 AND FAMILY=GRID AND (QI01=1 AND QI03=1 AND QI05=1 AND QI08=1 AND QI10 = 1). SHOW GRID ON SCREEN.] The next question is about the members of (your/(**SAMPLE MEMBER'S**)) family who live here — that is, (your/(**SAMPLE MEMBER'S**)) READ RELATIONSHIP(S) SHOWN BELOW.

[IF ONLY 1 PERSON IN GRID AND QP04=1] In [CURRENT YEAR - 1], did **you** have money in any kind of savings or other bank account that earned interest or did he/she receive dividend income from stocks or mutual fund or income from rental property, royalties, estates, or trusts?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] In [CURRENT YEAR - 1], did your READ RELATIONSHIP FROM BELOW have money in any kind of savings or other bank account that earned interest or did he/she receive dividend income from stocks or mutual fund or income from rental property, royalties, estates, or trusts?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], did any of **these** family members have money in any kind of savings or other bank account that earned interest or did they receive dividend income from stocks or mutual fund or income from rental property, royalties, estates, or trusts?

- 1 YES
- 2 NO

INTERVIEWER NOTE:

Dividends: Some people make investments by purchasing shares of stock in corporations. The corporation then distributes some of the profits to shareholders in the form of dividends.

Mutual funds consist of investors who pool their money to purchase shares of stock..

Rental Income: Income received from the rental of land, buildings, real estate, or from boarders after rental expenses are deducted.

Royalties: The total cash from royalties less expenses. This income could come from mineral rights, patents, copyrights, or trademarks.

Estates or Trusts: Include periodic payments from an estate or trust. Exclude lump-sum, one-time payments from these sources.

QI15 Child support is money paid by one parent to the other parent for the support of their child. In [CURRENT YEAR – 1], did (**you/SAMPLE MEMBER**) receive any child support payments for a child (**you are/SAMPLE MEMBER is**) raising?

- 1 YES
- 2 NO

INTERVIEWER NOTE:

In some cases, child support may be paid through a welfare agency or a court. We are only interested in whether the respondent received child support payments. We are not collecting information about any child support payments the respondent pays out to other individuals.

QI16A [IF QI15 NE 1 AND FAMILY=GRID AND (QI01 NE 1 OR QI03 NE 1 OR QI05 NE 1 OR QI08 NE1 OR QI10 NE 1 OR QI13 NE 1). SHOW GRID ON SCREEN.]

[IF ONLY 1 PERSON IN GRID AND QP04=1] In [CURRENT YEAR - 1], did **you** receive any child support payments for a child you are raising?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] In [CURRENT YEAR - 1], did your READ RELATIONSHIP SHOWN BELOW receive any child support payments for a child (he/she) is raising?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], did any of these same [# OF PEOPLE IN GRID] family members living here that I referred to earlier receive any child support payments for a child they are raising? READ RELATIONSHIPS SHOWN BELOW AS NECESSARY.

- 1 YES
- 2 NO

INTERVIEWER NOTE:

In some cases, child support may be paid through a welfare agency or a court. We are only interested in whether the respondent received child support payments. We are not collecting information about any child support payments the respondent pays out to other individuals.

QI16B [IF QI15 NE 1 AND FAMILY=GRID AND (QI01=1 AND QI03=1 AND QI05=1 AND QI08=1 AND QI10=1 AND QI13 = 1). SHOW GRID ON SCREEN.] The next question is about the members of (your/**SAMPLE MEMBER'S**) family who live here — that is, (your/**SAMPLE MEMBER'S**) READ RELATIONSHIP(S) FROM BELOW.

[IF ONLY 1 PERSON IN GRID AND QP04=1] In [CURRENT YEAR - 1], did **you** receive any child support payments for a child you are raising?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] In [CURRENT YEAR - 1], did your READ RELATIONSHIP SHOWN BELOW receive any child support payments for a child (he/she) is raising?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], did any of **these** family members receive any child support payments for a child they are raising?

- 1 YES
- 2 NO

INTERVIEWER NOTE:

In some cases, child support may be paid through a welfare agency or a court. We are only interested in whether the respondent received child support payments. We are not collecting information about any child support payments the respondent pays out to other individuals.

QI17 In [CURRENT YEAR - 1] did (you/**SAMPLE MEMBER**) receive income from **any other** sources, such as Veterans Administration payments, worker's or unemployment compensation, alimony, other disability, retirement or survivor pension other than Social Security or Railroad Retirement?

Do not include lump sum payments, such as money from an inheritance or the sale of a home.

- 1 YES
- 2 NO

INTERVIEWER NOTE:

Alimony: Money received periodically from a former spouse following a divorce or separation.

QI18A [IF QI17 NE 1 AND FAMILY=GRID AND (QI01 NE 1 OR QI03 NE 1 OR QI05 NE 1 OR QI08 NE 1 OR QI10 NE 1 OR QI13 NE 1 OR QI15 NE 1). SHOW GRID ON SCREEN.]

[IF ONLY 1 PERSON IN GRID AND QP04 = 1] In [CURRENT YEAR - 1], did **you** receive income from **any other** sources, such as Veterans Administration payments, worker's or unemployment compensation, alimony, other disability, retirement or survivor pension other than Social Security or Railroad Retirement?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] In [CURRENT YEAR - 1], did your READ

RELATIONSHIP FROM BELOW receive income from **any other** sources, such as Veterans Administration payments, worker's or unemployment compensation, alimony, other disability, retirement or survivor pension other than Social Security or Railroad Retirement?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], did any of these same [# OF PEOPLE IN GRID] family members living here that I referred to earlier receive income from any other sources, such as Veterans Administration payments, worker's or unemployment compensation, alimony, other disability, retirement or survivor pension (other than Social security or Railroad Retirement)? READ RELATIONSHIPS SHOWN BELOW AS NECESSARY.

Do not include lump sum payments, such as money from an inheritance or the sale of a home.

- 1 YES
- 2 NO

INTERVIEWER NOTE:

Alimony: Money received periodically from a former spouse following a divorce or separation.

QI18B [IF QI17 NE 1 AND FAMILY=GRID AND (QI01=1 AND QI03=1 AND QI05=1 AND QI08=1 AND QI10=1 AND QI13=1 AND QI15=1). [SHOW GRID ON SCREEN.] The next question is about the members of (your/**SAMPLE MEMBER'S**) family who live here — that is, (your/**SAMPLE MEMBER'S**) READ RELATIONSHIP(S) SHOWN BELOW.

[IF ONLY 1 PERSON IN GRID AND QP04=1] In [CURRENT YEAR - 1], did **you** receive income from **any other** sources, such as Veterans Administration payments, worker's or unemployment compensation, alimony, other disability, retirement or survivor pension other than Social Security or Railroad Retirement?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] In [CURRENT YEAR - 1], did your READ RELATIONSHIP SHOWN BELOW receive income from **any other** sources, such as Veterans Administration payments, worker's or unemployment compensation, alimony, other disability, retirement or survivor pension other than Social Security or Railroad Retirement?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], did any of **these** family members receive income from **any other** sources, such as Veterans Administration payments, worker's or unemployment compensation, alimony, other disability, retirement or survivor pension other than Social Security or Railroad Retirement?

Do not include lump sum payments, such as money from an inheritance or the sale of a home.

- 1 YES
- 2 NO

INTERVIEWER NOTE:

Alimony: Money received periodically from a former spouse following a divorce or separation.

INTROTIN The next two questions are about (your/**SAMPLE MEMBER'S**) **total personal** income from all sources **during [CURRENT YEAR - 1]** before taxes and other deductions.

[IF INCFILLP NE BLANK] Please include money from[INCFILLP1, INCFILLP2, INCFILLP3, and INCFILLP UNTIL ALL INCFILLPS INSERTED] that we just talked about.

PRESS [ENTER] TO CONTINUE.

QI20 **Before taxes and other deductions**, was (your/**SAMPLE MEMBER'S**) **total personal** income during [CURRENT YEAR - 1] more or less than 20,000 dollars?

(Income data are important in analyzing the health information we collect. For example, the information helps us to learn whether persons in one income group use certain types of medical care services or have conditions more or less often than those in another group.)

- 1 \$20,000 OR MORE
- 2 LESS THAN \$20,000

INTERVIEWER NOTE:
Do not include money received from loans or tax refunds.

HAND18a [IF QI20=2] HAND R SHOWCARD 17.

HAND18b [IF QI20=1] HAND R SHOWCARD 18.

INTROTPI [IF QI20 NE DK/REF] Of these income groups, which category best represents (your/**SAMPLE MEMBER'S**) **total personal** income during [CURRENT YEAR - 1]?

(Include the [INCFILLP1, INCFILLP2, INCFILLP3, and INCFILLP UNTIL ALL INCFILLPS INSERTED] that we just talked about.)

(Income data are important in analyzing the health information we collect. For example, the information helps us to learn whether persons in one income group use certain types of medical care services or have conditions more or less often than those in another group.)

PRESS [ENTER] TO CONTINUE.

QI21A [IF QI20=2] ENTER NUMBER THAT BEST REPRESENTS (**R'S/SAMPLE MEMBER'S TOTAL PERSONAL INCOME** DURING [CURRENT YEAR - 1]).

QI21B [IF QI20=1] ENTER NUMBER THAT BEST REPRESENTS (**R'S/SAMPLE MEMBER'S**) **TOTAL PERSONAL INCOME** DURING [CURRENT YEAR - 1].

INTROFI1 [IFQD54 NE 1, DK OR RE] [SHOW GRID ON SCREEN] The next two questions are about the **total family** income from all sources **during [CURRENT YEAR - 1]** before taxes and other deductions. We would like you to combine everyone's income that is, (yours and your READ RELATIONSHIPS FROM BELOW/**SAMPLE MEMBER'S** AND **SAMPLE MEMBER'S** READ RELATIONSHIPS IN GRID).

[IF INCFILLF NE BLANK] Please include the [INCFILLF1, INCFILLF2, INCFILLF3, and INCFILLF UNTIL ALL INCFILLPF INSERTED] that we just talked about.

QI22 [IFQD54 NE 1, DK OR RE AND QI20 NE 1] **Before taxes and other deductions**, was the **total combined family** income during [CURRENT YEAR - 1] more or less than 20,000 dollars?

(Income data are important in analyzing the health information we collect. For example, the information helps us to learn whether persons in one income group use certain types of medical care services or have conditions more or less often than those in another group.)

- 1 \$20,000 OR MORE
- 2 LESS THAN \$20,000

INTERVIEWER NOTE:
Do not include money received from loans or tax refunds.

HAND19a [IF QI22=2] HAND R SHOWCARD 17.

HAND19b [IF QI22=1 OR QI20=1] HAND R SHOWCARD 18.

INTROFI2 [IF QI22 = 2. SHOW GRID ON SCREEN] Of these income groups, which category best represents (your/**SAMPLE MEMBER'S**) **total combined family** income during [CURRENT YEAR - 1]-- that is, (yours and your READ RELATIONSHIPS SHOWN BELOW/**SAMPLE MEMBER'S** AND **SAMPLE MEMBER'S** READ RELATIONSHIPS SHOWN BELOW)?

(Include the [INCFILLF1, INCFILLF2, INCFILLF3, and INCFILLF UNTIL ALL INCFILLFS INSERTED] that we just talked about.) (Income data are important in analyzing the health information we collect. For example, the information helps us to learn whether persons in one income group use certain types of medical care services or have conditions more or less often than those in another group.)

PRESS [ENTER] TO CONTINUE.

INTROFI3 [IF QI22 = 1 OR QI20=1. SHOW GRID ON SCREEN] Of these income groups, which category best represents (your/**SAMPLE MEMBER'S**) **total combined family** income during [CURRENT YEAR - 1]—that is, (yours and your READ RELATIONSHIPS SHOWN BELOW/**SAMPLE MEMBER'S AND SAMPLE MEMBER'S READ RELATIONSHIPS SHOWN BELOW**)?

(Include the [INCFILLF1, INCFILLF2, INCFILLF3, and INCFILLF UNTIL ALL INCFILLFS INSERTED] that we just talked about.)

(Income data are important in analyzing the health information we collect. For example, the information helps us to learn whether persons in one income group use certain types of medical care services or have conditions more or less often than those in another group.)

PRESS [ENTER] TO CONTINUE.

QI23A [IF QI22=2]ENTER NUMBER THAT BEST REPRESENTS **THE TOTAL COMBINED FAMILY INCOME** IN [CURRENT YEAR - 1].

QI23B [IF QI22=1 OR QI20=1] ENTER NUMBER THAT BEST REPRESENTS **THE TOTAL COMBINED FAMILY INCOME** IN [CURRENT YEAR - 1].

QI24 The last question has to do with telephones in your household. How many different telephone numbers do you have in this household? Please don't include cellular phones in your answer. Also, don't count business numbers or extensions with the same number.

OF TELEPHONE NUMBERS: [RANGE: 0 - 20]

THANKR THANK R.

BE SURE YOU HAVE YOUR SHOWCARD BOOKLET.

PRESS [ENTER] TO CONTINUE.

VERIFID ENTER THE VERIFICATION ID FROM THE QUALITY CONTROL FORM FOR THIS INTERVIEW.

CASEID ENTER THE CASE ID FOR THIS INTERVIEW.

BE SURE TO INCLUDE A OR B AT THE END OF THE CASE ID.

TOALLR3I It is important that I do my job correctly; therefore, my supervisors will be checking on my work. Would you help me by printing your home telephone number and address on this form? Then place it in the postage-paid envelope so that my supervisor can write or call you in several weeks to confirm that I did my job. As you can see, this is kept separate from your answers so they will still be completely private.

PRESS [ENTER] TO CONTINUE.

INCENT01 While you are completing the quality control form, I will be finishing some questions to show that I did the interview. [SHOW RESPONDENT INTERVIEW PAYMENT RECEIPT FORM.] I will also sign this form to indicate that I have paid you the \$30 for this interview.

INTERVIEWER:

- 1) SHOW INTERVIEW PAYMENT RECEIPT FORM TO RESPONDENT.
- 2) PAY RESPONDENT \$30 CASH.
- 3) SIGN YOUR NAME TO DOCUMENT THAT YOU HAVE PAID THE RESPONDENT. [IF THE RESPONDENT WILL NOT ACCEPT THE CASH INCENTIVE, MARK THE APPROPRIATE BOX ON THE INTERVIEW PAYMENT RECEIPT FORM AND SIGN IT.]

Let me know when you are finished completing the form.

Thank you very much for your help.

PRESS [ENTER] TO CONTINUE.

FIDBFINTR FIELD INTERVIEWER DEBRIEFING QUESTIONS

FIEXIT END OF INTERVIEW REACHED.

PRESS 1 TO EXIT.

Screening Observation Checklist

Directions: Complete **one** Screening Observation Checklist for **each** screening you observe that ends in a code 22, 25, 26, 30, 31, or 32. For each screening procedure and summary item listed below, place a mark in the "Correct," "Error," or "N/A" column. For each Error or N/A response, provide a brief description in the space just below that item. If you observe an error that does not fit any of the categories below, describe that error in item 25. You should complete this checklist in hard copy using a clipboard or hard binder while at the household observing a screening. Within 24 hours you should enter this information into the field observations web entry system.

Screening Case ID:

Quarter: Qtr2 Qtr3 Qtr4

Date of Observation:

Time Started: : AM PM (When FI first spoke to respondent)

Time Ended: : AM PM (When FI last spoke to R or began speaking about interview)

FI ID:

FI Name: _____

Observer Name: _____

Observer Title:

FS RS RD SS SAMHSA Staff Other

Census Region: (Choose one of the following):

Northeast South Midwest West

Location (Choose one of the following):

Urban Suburban Rural

Type of dwelling unit (Choose one of the following):

Single family Apartment GQU College Housing

SCREENING PROCEDURES OBSERVED	Correct	Error	N/A
1. Displayed ID Badge prominently when knocking on door			
2. On Newton "Identify SR" screen when reached door			
3. Used Newton Spanish screens only if bilingual-certified			
4. Included FI NAME in introduction			
5. Included RTI in introduction			
6. Included US PUBLIC HEALTH SERVICE in introduction			
7. Included LEAD LETTER in introduction			
8. If R didn't recall lead letter, FI offered one to R			
9. Confirmed that SR was an adult resident of SDU			
10. Verified that he/she was at the correct address			
11. Gave Study Description to respondent			
12. Read Newton "Informed Consent" screen to R			
13. Checked for missed DUs by reading the correct Newton screen verbatim			
14. Asked all roster questions verbatim			
15. Recorded race based on R answer, not FI observation			

SCREENING PROCEDURES OBSERVED (Continued)	Correct	Error	N/A
16. Obtained all screening information directly from the SR (not by observation or a proxy)			
17. Confirmed accuracy & completeness of roster data w/ screening respondent			
18. For codes 22, 25, 26, or 30, read verification instructions verbatim			
19. For code 31 or 32, expected interview cooperation			
20. For code 31 or 32, presented project and interview information accurately			
21. For code 31 or 32, gained respondent trust/cooperation			
22. For code 31 or 32, demonstrated flexibility in scheduling interview time			
23. For code 31 or 32, left appropriate information about future interview			
24. For code 31 or 32, made attempts to begin interview right away			
25. OTHER PROCEDURAL VIOLATION NOT NOTED ON THIS CHECKLIST:			

SCREENING SUMMARY	Correct	Error	N/A
26. Was punctual			
27. Was organized			
28. Demonstrated a thorough knowledge of study			
29. Delivered a courteous, straightforward presentation			
30. Maintained a calm, professional, respectful demeanor			
31. Made NO biasing or inappropriate remarks			
32. Was there any respondent confusion due to something the FI said or did? If YES, describe:			
33. Was there any respondent confusion due to a procedure OR to the Newton Screening Program itself? If YES, describe:			
34. Would you recommend that this FI be observed again? (Answer only after the observation of this FI has been completed.) If YES, describe:			

Interviewing Observation Checklist

Directions: Complete **one** Interviewing Observation Checklist for **each** interview you observe. For each Interview Procedure and Summary item listed below, place a mark in the "Correct," "Error," or "N/A" column. For each Error or N/A response, provide a brief description in the space just below that item. If you observe an error that does not fit any of the categories below, describe that error in item 15. You should complete this checklist in hard copy using a clipboard or hard binder while at the household observing an interview. Within 24 hours you should enter this information into the field observations web entry system.

Interview Case ID:

Quarter: Qtr2 Qtr Qtr4

Date of Observation:

Time Started : AM PM (When FI first spoke to interview respondent about interview)

Time Ended : AM PM (When FI last spoke to interview respondent)

FI ID:

FI Name: _____

Observer Name: _____

Observer Title:

FS RS RD SS SAMHSA Staff Other

Census Region: (Choose one of the following):

Northeast South Midwest West

Location (Choose one of the following):

Urban Suburban Rural

Type of dwelling unit (Choose one of the following):

Single family Apartment GQU College housing

INTERVIEWING PROCEDURES OBSERVED	Correct	Error	N/A
1. If IR was a minor, FI first obtained consent from parent or legal guardian			
2. If interview respondent was not screening respondent, explained purpose of study and visit thoroughly			
3. Handed STUDY DESCRIPTION to the respondent			
4. Read INTRO TO CAI from Showcard Booklet verbatim to the respondent			
5. Chose a private location to conduct interview			
6. Set up equipment efficiently			
7. Asked initial (front-end CAPI) questions verbatim			
8. Completed CALENDAR accurately with respondent while reading CAI script and kept calendar where respondent could see it			
9. Read INTRO TO ACASI screen verbatim			
10. Explained HEADPHONE usage, offered headphones to R, and plugged in			
11. Kept ACASI portion private (did not read ACASI), but remained attentive			
12. Asked demographic (back-end CAPI) questions verbatim.			
13. For industry & occupation questions, listened to responses and probed appropriately			
14. Read Quality Control form instructions verbatim			
15. OTHER PROCEDURAL VIOLATION NOT NOTED ON THIS CHECKLIST:			

INTERVIEWING SUMMARY	Correct	Error	N/A
16. Presented SHOWCARDS when prompted by the CAI			
17. Was punctual			
18. Was organized			
19. Demonstrated a thorough knowledge of study			
20. Kept paper forms accessible			
21. Spoke in a clear voice			
22. Maintained a pace comfortable for the R			
23. Was courteous and respectful of R and surroundings			
24. Did not divulge R's confidential info to others			
25. Made NO biasing or inappropriate remarks			
26. Was there any respondent confusion due to something the FI said or did? If YES, describe:			
27. Was there any respondent confusion due to a procedure OR due to the CAI instrument itself? If YES, describe:			
28. Would you recommend that this FI be observed again? (Answer only after the observation of this FI has been completed.) If YES, describe:			

